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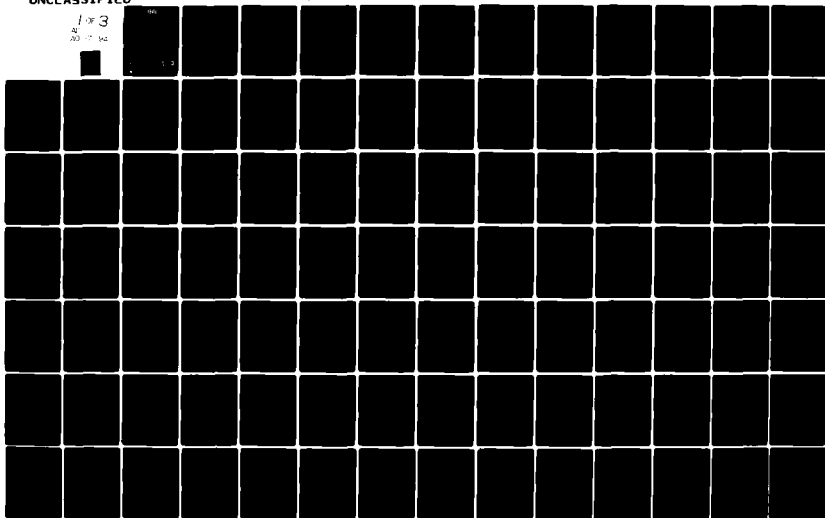
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USE OF BEHAVIORALLY ANCHORED RATING SCALES (BARS) TO COMPLEMENT--ETC(U)
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USE OF BEHAVIORALLY ANCHORED RATING SCALES (BARS) TO
COMPLEMENT THE MANAGEMENT BY OBJECTIVES (MBO)
AND FITNESS REPORT COMPONENTS OF THE
MARINE CORPS PERFORMANCE
EVALUATION SYSTEM

A thesis presented to the Faculty of the U.S. Army
Command and General Staff College in partial
fulfillment of the requirements for the
degree

MASTER OF MILITARY ART AND SCIENCE

by

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B.S., United States Military Academy, 1965
M.B.A., Hofstra University, 1979

Fort Leavenworth, Kansas
1980

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The Marine Corps' appraisal system has two components: the Fitness Report, and a management-by-objectives (MBO) methodology. The problem is that the Fitness Report does not provide feedback useful to subordinates, and the MBO methodology is so unstructured that the natural reluctance-to-counsel runs unchecked. Behaviorally anchored rating scales (BARS) are proposed as an appraisal instrument ideally suited to provide feedback. The author examines the development procedures for BARS and reviews the literature on BARS found in organizational behavior periodicals.

The author concludes that BARS, coupled with the Fitness Report and the MBO methodology, and controlled by appropriate guidelines, would embody the characteristics, of an ideal performance appraisal system. He recommends that BARS be developed for and tested by an infantry battalion. The research method was a library search concentrating on behaviorally research reports and articles by practicing managers and military officers.

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Use of Behaviorally Anchored Rating Scales (BARS) to Complement the Management by Objectives (MBO) and Fitness Report Components of the Marine Corps Performance Evaluation System.

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6 June 1980

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A Master of Military Art and Science thesis presented to the faculty of the U.S. Army Command and General Staff College, Fort Leavenworth, Kansas 66027

MASTER OF MILITARY ART AND SCIENCE

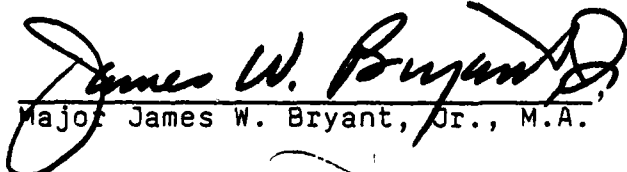
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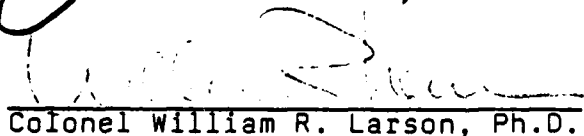
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Title of thesis USE OF BEHAVIORALLY ANCHORED RATING
SCALES (BARS) TO COMPLEMENT THE MANAGEMENT BY OBJECTIVES
(MBO) AND FITNESS REPORT COMPONENTS OF THE MARINE CORPS
PERFORMANCE EVALUATION SYSTEM

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other government agency. (References to this study should include the foregoing statement.)

ABSTRACT

USE OF BEHAVIORALLY ANCHORED RATING SCALES (BARS) TO COMPLEMENT THE MANAGEMENT BY OBJECTIVES (MBO) AND FITNESS REPORT COMPONENTS OF THE MARINE CORPS PERFORMANCE EVALUATION SYSTEM, by Major James W. Murphy, U.S. Marine Corps, 205 pages.

This thesis identifies problems with the Marine Corps' performance appraisal system, and proposes a solution, the focus of which is behaviorally anchored rating scales (BARS). The problems are: (1) failure to attain performance counseling objectives, (2) lack of control procedures to insure that counseling is achieved, and (3) evidence that many Marines are not counseled.

The Marine Corps' appraisal system has two components: the Fitness Report, and a management-by-objectives (MBO) methodology. The problem is that the Fitness Report does not provide feedback useful to subordinates, and the MBO methodology is so unstructured that the natural reluctance-to-counsel runs unchecked. Behaviorally anchored rating scales (BARS) are proposed as an appraisal instrument ideally suited to provide feedback. The author examines the development procedures for BARS and reviews the literature on BARS found in organizational behavior periodicals.

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Chapter 1

INTRODUCTION

An organization can develop on-the-job effectiveness and improve performance of its work force through performance appraisal and subsequent performance counseling of individuals.¹ The Marine Corps' performance appraisal procedure, known as the Performance Evaluation System, is designed to enhance the attainment of its organizational objectives as well as the development of its human resources.² The purpose of this study is to point out that the current Marine Corps performance appraisal instrument, performance counseling concept, and method of administrative control are inadequate tools to accomplish one half of the objective of the Performance Evaluation System--the development of human resources. The study will also recommend that a supplementary appraisal instrument, coupled with appropriate controls, be adopted.

Need for the Study

The study stems from three long-standing, disquieting factors associated with the performance appraisal of

¹Wendell L. French, The Personnel Management Process (4th ed.; Boston: Houghton Mifflin, 1978), p. 348.

²U.S. Marine Corps Order P1610.7B. Performance Evaluation System. 23 February 1977, p. 1-3.

Marines. First is the realization that reporting seniors experience difficulty accomplishing the performance coaching/counseling objectives required by the provisions of the Performance Evaluation System.³ Second is the recognition that objective criteria do not exist for measurement of behavior, performance, and effectiveness. Third is the appreciation of two emerging management concepts which appear to offer a solution to the vexing problem of accomplishing meaningful, effective performance coaching/counseling. These concepts are management by objectives (MBO) and behaviorally anchored rating scales (BARS).

Management by objectives (MBO) provides clear, unequivocal information about individual performance and effectiveness. MBO is described as ". . . a system that features a periodic agreement between a superior and a subordinate on the subordinate's objectives for a particular period and a periodic review of how well the subordinate achieved those objectives."⁴

³Ibid. pp. 3-13 through 3-15. See Appendix A, Performance Evaluation System Extracts. The reporting senior is the officer who completes the performance appraisal on the subordinate. The reporting senior is also responsible for performance coaching/counseling (see pages 3-13 through 3-16 for a discussion of coaching/counseling). The actual performance appraisal instrument is the Fitness Report (NAVMC 10835), a copy of which is located in Chapter 2 and identified as Figures 1 and 2. The reporting senior forwards the Fitness Report to Headquarters, U.S. Marine Corps via his immediate senior who, for purposes of the performance evaluation system, is referred to as the reviewing officer.

⁴French, op, cit., p. 321.

Behaviorally anchored rating scales (BARS) complement MBO in that they describe on-the-job behavior that results in performance and effectiveness. BARS are specially developed instruments which identify and describe each component of the total job, billet, or military occupation specialty (MOS). Then, within each component, called a "job dimension," BARS list the range of behaviors, in scalar form, from "most effective," in terms of achieving successful results, to "least effective."⁵ A supervisor, observing a subordinate on the job and annotating a BARS accordingly, has a highly specific, behavior-oriented instrument with which to conduct subsequent performance coaching and counseling. BARS, then, have tremendous intuitive appeal. Where MBO enables the superior to measure performance, effectiveness, and results, BARS adds to those dimensions the ability to measure on-the-job behavior. Behavior, here-to-fore not measurable, is a key component of performance and effectiveness.⁶

⁵L. L. Cummings and Donald P. Schwab, Performance in Organizations Determinants & Appraisal (Glenview, IL: Scott, Foresman, 1973), pp. 91-92.

⁶John P. Campbell, Maurice D. Dunnette, Richard D. Arvey, and Lowell V. Hellervik, "The Development and Evaluation of Behaviorally Based Rating Scales," Journal of Applied Psychology, 57, No. 1, (February 1973), p. 15. The authors define behavior as ". . . simply what people do in the course of working." Performance ". . . is behavior that has been evaluated (i.e., measured) in terms of its contributions to the goals of the organization."

Problem

The problem is three-fold. First, the design of the Marine Corps' performance appraisal instrument, the Fitness Report, does not support the attainment of the Marine Corps' objectives in performance coaching/counseling. The measurement content of the Fitness Report, essentially unchanged since 1957, is dated in terms of emerging concepts. The types of appraisal measurements on the Fitness Report--trait-related graphic rating scales, rank-order distributions, and narrative descriptions--are not well-suited to performance coaching/ counseling. In the past two decades significant advances have been made by behavioral scientists in the area of performance appraisal systems.

Second, the techniques for performance coaching/counseling prescribed by the Performance Evaluation System are not supported with appropriate controls. The lack of controls leads to the next problem.

Third, performance coaching/counseling is not being accomplished throughout the Marine Corps in a uniform,

Effectiveness ". . . refers to some summary index of organizational outcomes for which an individual is at least partially responsible such as unit profit, unit turnover, amount produced . . ." They distinguish between performance and effectiveness as ". . . the latter does not refer to behavior directly but rather the control of the individual (e.g., state of the economy, nepotism, quality of raw materials, etc.)."

acceptable manner. Discouraging evidence exists to suggest that a large number of Marines are not counseled on their performance in the spirit intended by the Performance Evaluation System.⁷

Thesis

Thesis: The Marine Corps should adopt a supplementary performance appraisal instrument, supported by appropriate administrative controls, to accomplish its performance coaching/counseling objectives.

Assumptions

This study is based upon five assumptions:

(1) that theories of organizational behavior developed from studies of the civilian sector are applicable to the Marine Corps, particularly in peacetime,

(2) that the philosophy and methodology of management-by-objectives is known and subscribed to by the reader,

(3) that Expectancy Theory as described by Victor Vroom, Lyman Porter, and Edward Lawler, and further refined by Herbert Heneman and Donald Schwab and others, is a reasonable model of motivation within which to pursue the study,

(4) that the institutional objectives of the Performance Evaluation System, that is, identification of Marines for promotion and assignment, are satisfactorily achieved by the Fitness Report, and,

(5) that this study may not apply to performance and behavior under combat conditions.

⁷This evidence is summarized in Chapter 2.

Methodology

The methodology used in this study was primarily a literature search supplemented by a limited survey. Literature used in the study falls into three categories: (1) textbooks and collected, bound readings, (2) scholarly journals and periodicals, and (3) dissertations and reports published by government-contracted consultants.

Textbooks and Readings

Behaviorally anchored rating scales (BARS), the focus of this study, are described in a brief but compelling manner in a number of textbooks. The textbooks were also a source of broad concepts related to performance appraisal. The readings provided supplementary information. The footnoted textbooks provided the first link to the wealth of BARS-related information contained in periodicals and journals.

Periodicals and Journals

The major source of information for the study came from periodicals and journals. As the study progressed it became clear that those publications fell into three distinct types. The types are: (1) military periodicals, (2) management and organizational behavior periodicals, and (3) research journals.

Military Periodicals. Periodicals such as the Marine Corps Gazette and the United States Naval Institute's Proceedings contain articles covering a wide range of topics, including performance appraisal, which are of interest to military readers. Several such articles, written by active duty officers, were essential to the study because they confirmed that the problem posed by the author is more real than perceived. The author's viewpoint, at least, is shared by others.

Management and Organizational Behavior Periodicals. Practicing managers and business school faculty frequently present their concepts in such periodicals as The Personnel Administrator and Business Horizons. The concepts are often based on the synthesis of several research studies reported in other journals. Management and organizational behavior periodicals were the key to expanding the brief descriptions of BARS contained in the textbooks. The management and organizational behavior articles were also the primary source of performance appraisal models within which BARS and MBO are an integral part.

Research Journals. Detailed reports of current research are featured in such publications as the Journal of Applied Psychology and Organizational Behavior and Human Performance. Considerable insight into BARS-related

hypotheses, and the techniques of BARS development were provided by the reports of behavioral scientists. An appreciation was gained for the costs, benefits, problems, and potential of BARS as well as developmental and implementation pitfalls to be avoided.

Dissertations and Consultants' Reports

Dissertations and consultants' reports were particularly important to learn how the detailed steps required to develop a set of BARS are performed. Two consultant reports are particularly interesting because the reports center on military applications of the BARS concept.

Integration of Experience

A modest survey was conducted of the other nine Marine officers attending the U.S. Army Command and General Staff College at Fort Leavenworth, Kansas. The purpose of the survey was to determine the degree to which the nine Marines' experiences relative to the Performance Evaluation System compare with the author's. The survey instrument and the results are contained in Appendix C, "Performance Evaluation System Survey of Marine Officer Students Attending the U.S. Army Command and General Staff College, Class of 1980." In several instances, insights shared by Marines are referred to in the study. Use of shared experiences has been limited because of the difficulty documenting such material and because of the very small number of Marines participating in the survey.

Organization of the Study

The study is organized into six chapters. Chapter 1 suggests that the Marine Corps Performance Evaluation System is not an ideal system in terms of state-of-the-art developments in organizational behavior research and outlines a problem which exists because of deficiencies in the system. Chapter 2 argues that the Performance Evaluation System is not achieving its performance coaching/counseling objectives using either the current appraisal instrument, the Fitness Report, or the counseling concept set forth in Section 3006 of the Performance Evaluation System. Chapter 3 demonstrates that BARS, developed by analyzing a job in terms of its content, and evaluating the effectiveness of observable, on-the-job behavior, capture the essential elements of behavior required by an ideal performance appraisal system. Chapter 4 shows that the operational properties of BARS, particularly those related to performance coaching/counseling, coupled with other benefits derived from the development process, far outweigh disadvantages experienced. Chapter 5 synthesizes and summarizes Chapters 2, 3, and 4. Finally, Chapter 6 presents the conclusion and recommendations.

Chapter 2

THE PERFORMANCE EVALUATION SYSTEM

The Marine Corps Performance Evaluation System is not achieving its stated objectives for performance coaching/counseling. There are four reasons for this short-coming: (1) the system is dated and has not incorporated significant advances in performance appraisal theory developed in the past two decades, (2) the Fitness Report, the present appraisal instrument, is unsatisfactory as a performance coaching/counseling tool, (3) the prescribed procedure for performance coaching/counseling, using a modified MBO technique, is not applied in a uniform, acceptable manner throughout the Marine Corps, and (4) the reluctance-to-counsel phenomenon, well-documented in civilian organizations, is present among Marine reporting seniors.

It seems apparent that failure to achieve performance coaching/counseling objectives, as outlined in the Performance Evaluation System, will continue unless actions are taken to minimize the short-comings such as (1) developing supporting documents and instruments, (2) establishing positive administrative controls to ensure that meaningful coaching/counseling is performed, and

(3) educating all Marines on the importance and execution of the System.

Current Performance Appraisal Systems Theory

The current Marine Corps Performance Evaluation System does not incorporate recent advances in performance appraisal theory. Because this study proposes to modify the present Performance Evaluation System, it is important to appreciate at the outset the characteristics of an ideal performance appraisal system. Lyman W. Porter, Edward F. Lawler, and J. Richard Hackman have conducted considerable research in the area of organizational performance appraisal. Taking into account the needs of organizations, the needs of individuals, and the inherent conflicts between organizational and individual needs, they suggest that an ideal performance appraisal system encompasses seven characteristics. The seven characteristics are:

1. Measures are used that are inclusive of all the behaviors and results that should be performed.
2. The measures used are tied to behavior and as far as possible are objective in nature.
3. Moderately difficult goals and standards for future performance are set.
4. Measures are used that can be influenced by an individual's behavior.
5. Appraisals are done on a time cycle that approximates the time it takes the measures to reflect the behavior of the persons being evaluated.

6. The persons being evaluated have an opportunity to participate in the appraisal process.

7. The appraisal system interacts effectively with the rewards system.¹

As a related matter it is useful for analytical purposes to know that most large American organizations have performance appraisal systems. The systems are used for a variety of purposes, but generally they can be grouped into one of the following two categories: ". . . (1) the maintenance of organizational control, and (2) the measurement of the efficiency with which the organization's human resources are being utilized, and the improvement of these resources."²

Put another way, performance appraisal systems are used both for institutional purposes, such as promotion, assignment, merit pay increases, etc., and for human resources development purposes, such as performance coaching/counseling. Similarly, the objectives of the Marine Corps' performance appraisal process, as will become apparent in the following paragraphs, focuses on institutional and human resources development purposes.

The Marine Corps Performance Evaluation System

The Marine Corps has published detailed instructions concerning the philosophy and procedures by which

¹Lyman W. Porter, Edward F. Lawler, III, and J. Richard Hackman, Behavior in Organizations (New York: McGraw-Hill, 1975), p. 339.

²Cummings and Schwab, op, cit., p. 55.

its members are to conduct their performance appraisal responsibilities. The guidance is contained in Marine Corps Order Pl610.7B, Performance Evaluation System. The Marine Corps has four specific objectives in performance appraisal:

(1) The first and focal objective is the improvement of performance This central objective can only be achieved by coupling the fitness report . . . with counseling and coaching to determine where, and how, performance should be improved . . .

(2) . . . the identification of those Marines who are considered qualified for advancement . . .

(3) . . . the provision of assistance to individual Marines in identifying those performance and character attributes which require improvement before they can be considered qualified for advancement.

(4) . . . support the "career pattern" approach to personnel management by providing . . . information relating to both a Marine's desired duty assignment, and the Marine's suitability for certain future duty assignments.³

Objectives (2) and (4) are clearly related to the purpose of organizational control. Objectives (1) and (3) are related to the purpose of improving the effectiveness of human resources.

The medium through which the Marine Corps achieves objectives (2) and (4), and indirectly attempts to support objectives (1) and (3), is the Fitness Report (NAVMC 10835), the service's performance appraisal instrument.

³U. S. Marine Corps Order Pl610.7B. Performance Evaluation System. 23 February 1977. p. 1-3. See Appendix A. Performance Evaluation System Extracts.

Attainment of objectives (1) and (3) is the focus of the section of the Performance Evaluation System titled "COUNSELING." This section directs the accomplishment of performance coaching/counseling utilizing a modified MBO concept. Although it will be discussed in detail later, it is beginning to be obvious that the "letter" of the Performance Evaluation System misses the perfect appraisal system criteria in the area of behavioral measures. Thus the design is clearly dated. Regrettably, it will also be demonstrated in the following pages that actual performance in the field by reporting seniors, for a variety of reasons, misses the "spirit" not only of the Performance Evaluation System, but the Porter, Lawler, Hackman system as well.

The Fitness Report:

Unsuitable as a Counseling Instrument

From the following review it will become apparent that the Fitness Report is not a satisfactory instrument for performance coaching/counseling.

Fitness Report

The only instrument the Marine Corps uses in its performance appraisal system is the Fitness Report. This report has been in use by the Marine Corps since 1957,

twenty-three years.⁴ In this period the only major modification has been its conversion from a manual document to a machine readable form.

As specified in the cover letter which promulgates the seventy-six page Performance Evaluation System directive, the Fitness Report, has two purposes: ". . . to aid in personnel assignment, and to assist selection boards . . ."⁵ Therefore, this directive clearly links the Fitness Report to the institutional need to maintain positive control over the organization's promotions and assignments. On the other hand, nowhere in the cover letter is reference made to efficient utilization or improvement of the organization's human resources. By such omission there appears to be tacit recognition that the design of

⁴The date, 1957, is an estimate. It was determined by comparing the first and second editions of The Marine Officer's Guide. The first edition, 1956, shows a facsimile of the then existing Fitness Report. The form control data reflects "(Rev. 8-54)." The form itself does not include a rank ordering format. The second edition, copyright 1964, shows a Fitness Report with form control data" (Rev. 6-63) (Supercedes 2-57 and 4-61 . . .)." This is the first to feature the rank ordering format. The inference drawn is that the "truth teller" came into use in 1957. Earlier conversation with career civilians, normally the corporate memory, who work in the area of forms control at Headquarters, U.S. Marine Corps were inconclusive. This was due to the transfer of files containing such obscure information.

⁵U.S. Marine Corps Order P1610.7B. Performance Evaluation System, op. cit., p. 1.

this appraisal instrument does not directly support effective performance coaching/counseling.⁶ A survey taken in April, 1980, among ten Marine officers studying at the U.S. Army Command and General Staff College reflected, however, that eight of the ten officers use or have used the Fitness Report as a general guide during their counseling of subordinates. The results of the survey suggest that the Fitness Report, although not intended as a coaching/counseling instrument, is frequently used as such, probably because it is the only performance appraisal instrument available.

Format of the Fitness Report. The Fitness Report is actually a composite of three generally recognized forms of appraisal technique. As can be seen from Figure 1, Fitness Report, Sections A and D are administrative in nature. In Section B, items 13 and 14 are graphic rating scales of performance factors and traits, respectively. The definitions of both the listed performance factors and the traits, as well as the literal definitions of each mark across the scale, are printed on the reverse side of the form. Item 15, known among Marines as the "truth

⁶Porter, Lawler, and Hackman, op. cit., pp. 316-319 and 338-339.

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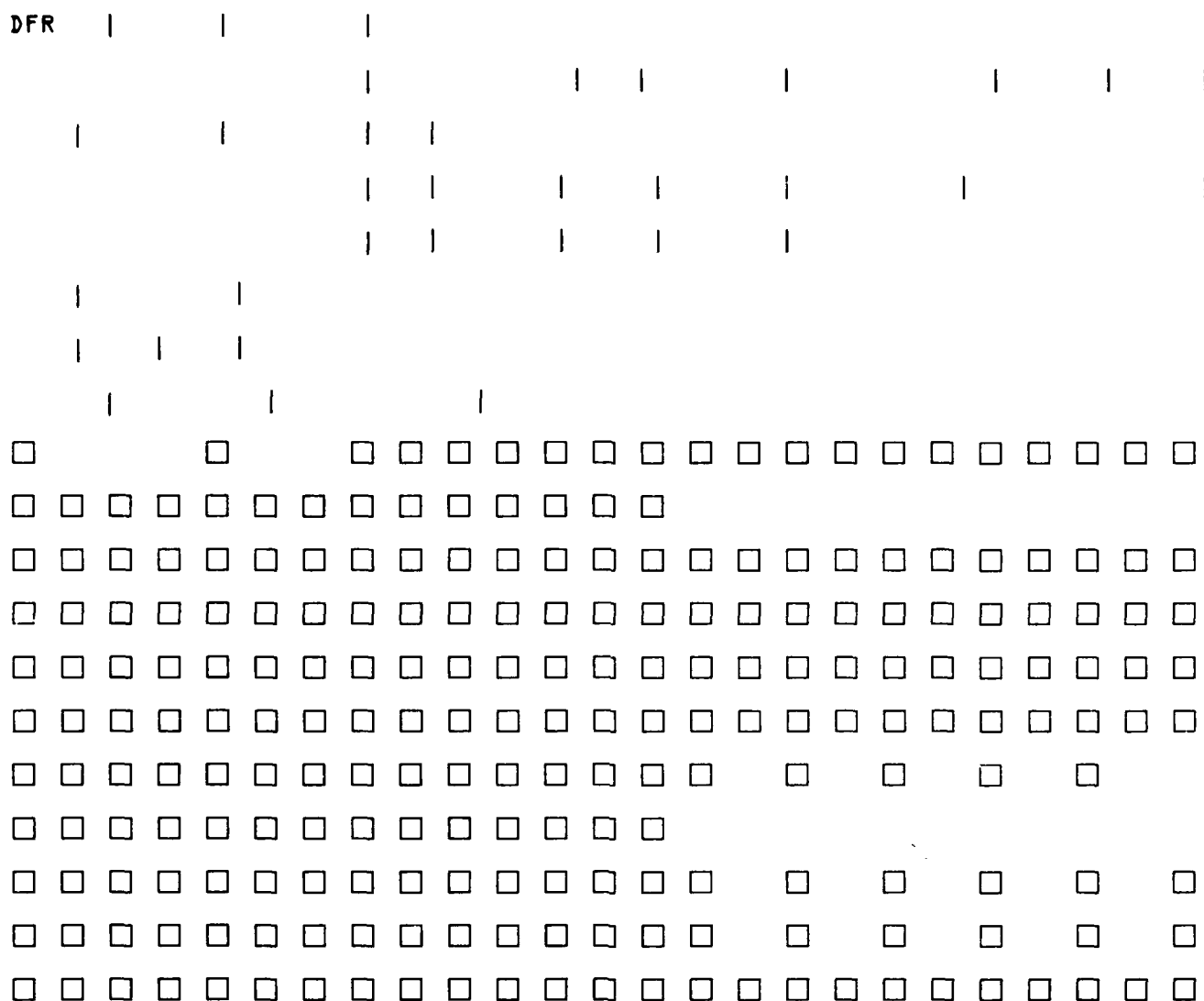
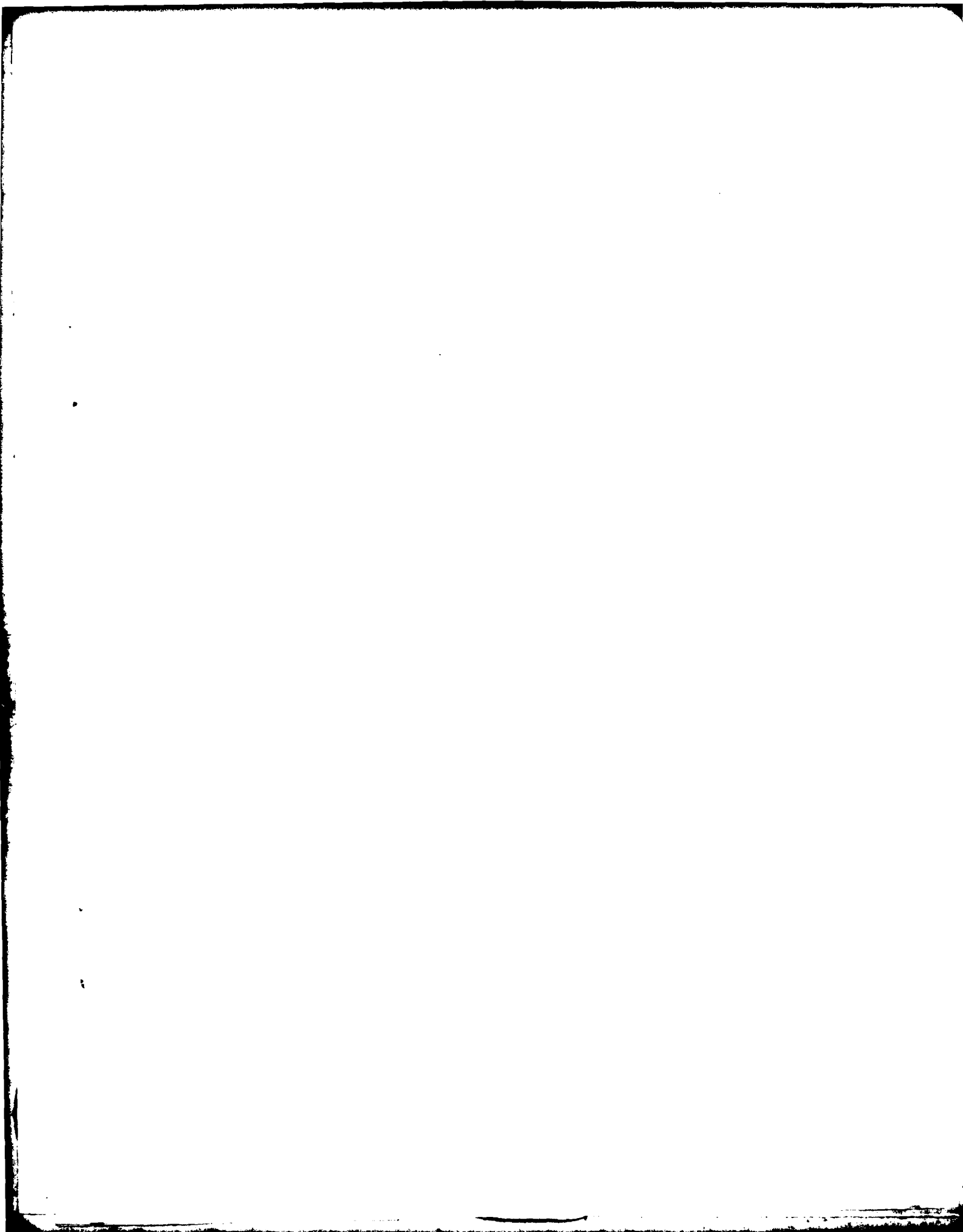


Figure 1
FITNESS REPORT



teller," is a rank-ordering device.⁷ Item 16 is also a form of graphic rating scale. Finally, Section C requires a narrative description of the rated Marine's professional character.

Ambiguities in the Graphic Rating Scales. First, there is a problem with graphic rating scales of performance factors and traits. Performance factors and traits are replete with ambiguity. In spite of the definitions of each trait, identified as "qualities," on Figure 2, Reverse Side of Fitness Report, and definitions of each score; i.e., "average, above average," etc., the traits still tend to be vague and ambiguous. "Loyalty" is the classic conundrum. An officer was once heard to remark that loyalty can be one of only two marks: outstanding or unsatisfactory: either a man is one hundred percent loyal to or he is not.

⁷It is the feeling of almost every Marine officer with whom the author has spoken that the Fitness Report, particularly Item 15, coupled with the narrative description of professional attributes, provides promotion boards and assignment personnel with relatively uncontaminated information with which to make difficult decisions. The "truth teller," while not a perfect method, is able, particularly when fitness reports are aggregated over a period of time, to provide highly discriminating insights into a peer group. More competent officers can be distinguished from less competent. And those with the most potential to serve creditably at the next rank can be distinguished from those with the least potential to serve creditably. Similarly, identification of personnel suitable for key and sensitive assignments is relatively apparent.

Figure 2.

Reverse Side of Fitness Report

Another quality frequently subject to ambiguous interpretation is "force." The reverse side of the fitness report form shows the definition of "force" to be, "The faculty of carrying out with energy and resolution that which is believed to be reasonable, right, or duty." Odd, Webster's Third New International Dictionary offers eighteen different usages of "force" as a noun--and this is not one of them. It would not be so upsetting except there seems to be a tendency to attribute "force" to those persons who speak loudly, frequently, and martially, while quiet persons whose performance conforms to the definition are considered to be less forceful than their blustering peers.

Traits Fail to Measure Performance. Next, there is the fact that trait-oriented appraisal forms tend to cause performance appraisal problems regardless of the type of organization. Cocanougher and Ivancevich state, "There is an overreliance on personality traits, which are difficult to define and measure. . . . The relationship of many of these traits to performance is questionable."⁸ William J. Kearney went on to say, ". . . evaluation of traits,

⁸A. Benton Cocanougher and John M. Ivancevich, "'BARS' Performance Rating for Sales Force Personnel," Journal of Marketing, 42, No. 3 (July, 1978), p. 88. On the other hand, as one officer pointed out, traits are a useful measure or indicator of potential.

behavior, or results do not produce data of equal usefulness for improving performance when fed back to individuals."⁹ In the same article, Kearney quotes James Goodale as follows:

It is clear that ratings of employee traits fail to meet this criterion of useful feedback. Telling a subordinate that he is average in initiative, low in attitude, and above average in maturity creates defensive feelings and gives him little help how to change.¹⁰

Traits have other shortcomings. They are not well suited to specific measurement. To describe a subordinate as "above average," meaning "highly qualified" leaves the general impression that in respect to the particular trait, the person is in good shape. But exactly how useful, in terms of attaining organizational goals, is it to describe a man's degree of "loyalty" or "force" as "highly qualified?" How does such an appraisal reflect the subordinate's performance in relation to the primary mission for the rating period of preparing his platoon for the battalion's Operational Readiness Inspection?¹¹ It does not.

Related to the vagueness problem is the fact that there is no suggestion of what efforts at improvement are

⁹William J. Kearney, "Improving Work Performance Through Appraisal," Human Resource Management, 17, No. 2 (Summer, 1978), p. 20.

¹⁰Ibid.

¹¹Robert E. Pitts and Ken Thompson, "The Supervisor's Survival Guide: Using Job Behavior to Measure Employee Performance," Supervisory Management, 24, No. 1 (January, 1979), p. 26.

necessary to move up to the mark of "excellent" which connotes "qualified to degree seldom attained by others of the grade." Unless the reporting senior can explain what the rating means, he or she can leave the subordinate feeling frustrated as to what to do to improve it.¹²

Another area in which trait ratings fall short, relative to the Porter, Lawler, Hackman performance appraisal criteria, ". . . is that there seems to be very little correlation between actual work performance and the ratings. The scales do not measure performance, only the supervisor's perception of it."¹³

One Form Used for All Levels of the Organization.

Another weakness of this instrument is that the Marine Corps Fitness Report is used for all ranks from general to sergeant. This one-size-fits-all form obviously has shortcomings in describing the degree of proficiency the ratee demonstrates on the specific tasks which comprise his assignment. Lieutenant Colonel David S. Rilling, U.S. Marine Corps, noted:

The exact same form is used to evaluate a sergeant as is used to evaluate a sergeant major in the enlisted rank structure and second lieutenant to the Commandant of the Marine Corps in the officer ranks. I believe this is unacceptable given the complexity of modern warfare if, indeed, it ever was correct. . . . Generals just do not do the same

¹²Ibid.

¹³Ibid.

things that second lieutenants do. Why should their performance description be the same?¹⁴

Rank-ordering Not Suitable for Counseling. Another serious concern is the reality that counseling a subordinate on his "general value to the service" ranking is very vexing. In recognition of the potentially deleterious and devisive effects, the Performance Evaluation System does not require that the completed report be shown to the man during the counseling session.¹⁵ There is no question that the "general value of the service" block is important to the Marine Corps in identifying persons for promotion and persons most competitive for key assignments. It is not, however, useful in facilitating development of the Marine through performance counseling. To tell a Marine that two persons were ranked above him, four with him, and one below him does not provide useful feedback. It does nothing to apprise him of what behaviors will lead to improvement. In some cases, admittedly, acquainting a person with his standing in the rank ordering might provide motivation to work harder. Such a technique must be used with great forethought. It can be as dysfunctional

¹⁴David S. Rilling, "Personnel Performance Appraisal--A Need For Change," Marine Corps Gazette, 64, No. 4/April, 1980), p. 49.

¹⁵U. S. Marine Corps Order P1610.78, Performance Evaluation Report, Washington, D.C.: Government Printing Office, 23 February 1977, p. 3-15.

as it can be motivating and there is no way to tell how an individual will react.

Narrative Description. Finally, although narrative descriptions are not, per se, objectionable as performance coaching/counseling tools, the problem is one of quality control throughout the Marine Corps. Some officers write very vivid, useful descriptions of their subordinates. Some do not. Obviously the latter would be of no help in attempting to achieve effective counseling. Given the weight of opinion that the graphic rating scales and the rank-ordered distribution are deficient as counseling tools, it would be short-sighted indeed to rely on the blind hope that all reporting seniors will write sufficiently complete narrative descriptions to satisfy the criteria of ideal performance appraisal. Therefore, narrative descriptions, because all reporting seniors do not write vivid, useful word pictures, do not qualify as an adequate tool for effective performance coaching/counseling.

Lack of Uniform Application of MBO Technique

The prescribed procedure for performance coaching/counseling, using a modified MBO technique, is set forth in Section 3006 of the Performance Evaluation System. The section is titled "Counseling." Its provisions are not applied in a uniform, acceptable manner throughout the Marine Corps. This can be substantiated by showing that

(1) the prescribed system is a general, conceptual set of guidelines with no supplementary instrument to ensure uniformity and no administrative controls to encourage compliance, (2) stark, unequivocal evidence exists to show that performance coaching/counseling duties are being widely neglected, and (3) reluctance-to-counsel, related to each of the foregoing and a pervasive phenomenon in large organizations, is almost certainly present in the Marine Corps. It can be minimized by understanding why responsible managers tend to neglect their counseling responsibilities.

An MBO Concept for Performance Coaching/Counseling.

The Performance Evaluation System provides, aside from the Fitness Report, for the attainment of the human resources development objectives, that is, performance coaching/counseling, using an MBO concept. The MBO concept is, at best, sketchily described. The concept consists of four procedures:

(1) Review with the Marine, individual performance to date.

(2) Evaluate this performance.

(3) Jointly establish a definite target(s) (i.e., a plan requiring the Marine's efforts) for maintenance or improvement of performance levels.

(4) Establish a coaching plan (i.e., a plan requiring the reporting senior's participation) to guide the Marine toward the target(s) established in step (3).¹⁶

¹⁶U. S. Marine Corps Order P1610.7B. Performance Evaluation System. op. cit., p. 3-13.

The description provides examples of both properly and poorly stated targets. The targets, expressed in classic MBO style, state the action to be taken, the identifiable results, and the time limit.¹⁷ Two examples are: (1) "Get a regulation haircut at least once every ten days," and (2) "Prepare a master list of all third quarter training requirements by 10 December."¹⁸

In contrast to the Fitness Report which is a formal document with strict controls governing its forwarding to Headquarters, U.S. Marine Corps, the MBO concept is neither supported by a formal document, nor executed in a controlled, supervised manner. The accomplishment of the performance coaching/counseling required by this half of the system is entirely dependent upon the initiative, self-confidence, and complete professionalism of each reporting senior. Some are occasionally found wanting for there is considerable evidence that many reporting seniors fail to properly coach and counsel.

Evidence of Failure of Reporting Seniors to Coach and Counsel. Three brief examples are cited of failures on the part of reporting seniors to coach/counsel in

¹⁷Anthony P. Raia, Managing by Objectives (Glenview, IL: Scott Foresman, 1974), p. 64.

¹⁸U. S. Marine Corps Order P1610.7B. Performance Evaluation System. op. cit., pp. 3-14 and 3-15.

accordance with the letter and spirit of the Performance Evaluation System.

To begin with, the author can personally attest to the fact that he has never been counseled using an MBO methodology. In the past ten years he has been meaningfully counseled on his performance, in a manner approximating the spirit of the order, by only three of nine reporting seniors.

In a perceptive, thorough article discussing the Marine Corps Performance Evaluation System. Lieutenant Colonel David S. Rilling comments:

A review of my own jacket reflects that I have received . . . quite a lot of counseling over the years. The line-outs in section 23 are all neatly recorded. While it is very true that I have received many of the-spot personal critiques, such sessions were never in connection with fitness reports with the exception, if memory serves correctly, of three reporting seniors. This aspect of our system is neglected and needs fine tuning.¹⁹

Lieutenant Colonel Donald E. Shaet, U.S. Marine Corps, recounts an even more revealing anecdote:

Perhaps the most startling illustration of this occurred in 1975 in the 10th Marines while I was appraising a fine master gunnery sergeant of the gist of his fitness report and counseling him on his performance. He had over twenty years service at the time. During the session, he developed a puzzled and surprised look. When I asked what was wrong, he replied,

"Nothing sir, it's just that I'm surprised you are taking the time to do this with me. You're the first one who has done so. Also, I'm a bit puzzled because, it hardly seems worth your time since you know I'm going to retire in less than six months."

¹⁹Rilling, op. cit., p. 52. Note in Figure 1, Fitness Report, that block 23 is to be annotated by the reporting senior that he has counseled the rated Marine.

Hard to believe? Yes. However, if you will reflect for a moment the quality of counseling you have received or ask others about their performance counseling experiences, it won't take much investigating to realize that Marine leaders are not doing as well in this area as they should.²⁰

Lieutenant Colonel Shaet later observed:

The average Marine leader has the integrity not to discount these obligations willingly and knowingly. Why is it then that the force of a Marine Corps order together with a recognized responsibility to maximize resources and ethical requirements are not sufficient to ensure that performance counseling gets done well, if at all?²¹

Lieutenant Colonel Shaet suggested the answer to the question--why military officers are reluctant to counsel--may lie in a review of the management literature relating to civilian organizations.

Reluctance-to-Counsel. Marine officers are not alone in their reluctance to counsel subordinates, organization behavior literature is replete with articles discussing the problem. Douglas McGregor identified several. Referring to conventional performance appraisals based upon trait-oriented and/or rank-ordered instruments he wrote:

The conventional approach, unless handled with consummate skill and delicacy, constitutes something dangerously close to a violation of the integrity of the personality. Managers are uncomfortable when they are put in the position of "playing God." The respect we hold for the value of the individual leaves us distressed when we must

²⁰Donald E. Schaet, "Listen Marine, You Gotta Treat People Like People," Marine Corps Gazette, 61 (December, 1977), p. 40.

²¹Ibid., p. 42.

take responsibility for judging the personal worth of a fellow man. Yet the conventional approach to performance appraisal forces us, not only to make such judgements and to see them acted upon, but also to communicate them to those we have judged. Small wonder we resist!²²

McGregor goes on to point out that this resistance may be sound in that it reflects the manager's concern for the emotional well-being of his subordinates and his unwillingness to treat them like physical objects.²³

A number of other writers say the problem, in part, is that managers, as a group, lack training in the philosophy of performance appraisal and related techniques of effective, non-threatening performance counseling. Robert C. McCoy noted that the public image of business executives being "tough minded" tended to be true more in relation to dealing with facilities, materials, engineering, and economics than with the effective leadership of subordinates. Many stumbling employees tend to be carried by their organization. He suggests that managers avoid firing obviously incompetent employees for a variety of reasons:

- some rationalize that the poor employee is better than none at all,
- maybe he'll quit soon,
- wait for a "Mr. Wonderful" to come along and handle the problem,

²²Douglas McGregor, "An Uneasy Look at Performance Appraisal," Harvard Business Review, 35, No. 3 (May/June, 1957), p. 90.

²³Ibid., pp. 90-91.

--some delegate the task to a subordinate,

--some hire external consultants to do the job.²⁴

It is apparent that leading up to the employee's incompetent performance was a general lack of effective or even attempted performance counseling. McCoy offers the reason that, in addition to not wanting to "play God," the manager wished to avoid engagement "in a potentially explosive or emotionally disturbing situation."²⁵ He suggested that training was needed to make managers aware of how costly to the organization is the avoidance of counseling of average and below average employees.

He pointed out ". . . management has a responsibility to others in the organization--that the maintenance of 'bad apples' can lead to lowered standards and lower productivity, culminating in potential disaster for all."²⁶ McCoy stressed the need for a method of counseling employees that would be:

. . . less threatening and distressing to the boss
. . . more contributing to management effectiveness, profit, and performance . . . more humane and developmental for the unsatisfactory performer.²⁷

²⁴Robert C. McCoy, "Performance Review: Confronting the Poor Performer," Supervisory Management, 21 (July, 1976), pp. 13-14.

²⁵Ibid., pp. 12-13.

²⁶Ibid., p. 15.

²⁷Ibid., p. 14.

The training problem outlined by McCoy was also highlighted by John M. Ivancevich, and others, particularly in terms of integrating the goal-setting process with the coaching and counseling steps.²⁸

Patricia C. Smith and L. M. Kendall identified another facet of the reluctance-to-counsel problem. They point out that the list of traits presented to raters on a form presupposes the raters agree both with the applicability of the traits and the interpretation of the traits. They write:

Without consensus among the raters, more importantly, the raters cannot be expected to utilize the scales offered to them with any conviction or agreement.

Moreover, the rater must be "sold" upon the desirability of completing the ratings honestly and carefully, which means that the rating scales must have face validity for the purposes of the rater (which include guidance and counseling). . . .²⁹

Thus it is difficult to get a commitment to effective counseling if the rater has no faith in his instrument. The view of Robert C. Ford and Kenneth M. Jennings appears to be complementary:

²⁸John M. Ivancevich, and others, "Goal Setting: The Tenneco Approach to Personnel Development and Management Effectiveness," Organizational Dynamics, 7, No. 3 (Winter, 1978), pp. 60-61.

²⁹Patricia Cain Smith and L. M. Kendall, "Retranslation of Expectations: An Approach to the Construction of Unambiguous Anchors for Rating Scales," Journal of Applied Psychology, 47, No. 2 (April, 1963), pp. 149-150.

Performance appraisal problems develop for a number of reasons. It is relatively easy to justify an evaluation that is similar to others, is favorably biased, or is based on some noteworthy example of performance (good or bad). On the other hand, this justification becomes far more difficult when a precise distinction is made with an imprecise measure or when it is necessary to recall a steady good performance and compare it with a sporadic brilliant one.³⁰

A particular problem related to a military situation is reported in 1963 by Robert A. Zawacki and Peter E. LaSota, at the time, instructors at the U. S. Air Force Academy. They noted that:

Commanders are rightly concerned about the direct conflict between their counseling role and responsibilities and their role of disciplinarian. This concern is understandable when one realizes that few of our present-day commanders have much management training to supplement the technical competence that earned them their promotions and positions of responsibility.³¹

This reluctance-to-counsel problem is also related to the gap between the appraiser's perceptions of the employee's performance, and the employee's perception of his performance. This appears to be related to the "self-concept" identified by Zawacki and LaSota. In the absence of any feedback at all, or barring negative feedback, the employee's concept of self tends to lead him to

³⁰Robert C. Ford and Kenneth M. Jennings, "How to Make Performance Appraisals More Effective," Personnel, 54, No. 2 (March/April, 1977), p. 52.

³¹Robert A. Zawacki and Peter E. LaSota, "The Air Force Supervisor: Giving and Receiving Help," Air University Review, 25 (January/February, 1974), p. 79.

have a good opinion of himself and efforts.³² If the supervisor's opinion of the efforts is not as sanguine, any resulting performance interview will be fraught with conflict.³³

John D. Colby and Robert L. Wallace go on to say:

Realizing that subordinates are likely to reject their criticism, supervisors frequently avoid confronting an employee with areas of poor performance. But the supervisor who doesn't face the problem will find himself in a serious bind later because he did not deal with the employee.³⁴

On the other hand, if the appraiser is weak or poorly trained, the realization that he must counsel an employee on his performance may lead, indeed, generally does lead to a higher evaluation than when explanations of evaluations are not required.³⁵

As Pogo is reported to have said some years ago, "We have met the enemy and he is us." The foregoing insights into counseling problems in the civilian sector are assumed to be operational in the military as well. Certainly the three military examples of failure to counsel

³²Ibid., pp. 78-79.

³³John D. Colby and Ronald L. Wallace, "The Art of Levelling with Subordinates about Their Performance," Supervisory Management, 20, No. 12 (December, 1975), p. 27.

³⁴Ibid.

³⁵William J. Kearney, "Improving Work Performance Through Appraisal," Human Resource Management, 17, No. 2 (Summer, 1978), p. 19.

cited in the preceeding section stemmed from some failing. It is reasonable to conclude the variety of reasons for reluctance-to-counsel were partly to blame.

Conclusion

A review of the Marine Corps Performance Evaluation System reveals that this system is not achieving its stated objective of effective performance coaching/counseling partly because of three existing deficiencies. First, comparison of the four stated objectives of the Marine Corps Performance Evaluation System with the Porter, Lawler, Hackman ideal performance appraisal model, demonstrates that the Marine Corps system is out of date. The most obvious deficiency is that the Marine Corps system has no formal mechanism to identify "most effective" behavior and "least effective" behavior. Second, the Marine Corps does not have an appraisal instrument which is satisfactory as a performance coaching/counseling tool. Third, the Marine Corps is failing to achieve even the spirit of its objectives in performance coaching/counseling because it does not have an adequate set of administrative controls on the coaching/counseling process. And fourth, these controls plus training of reporting seniors are essential to minimize the too human tendency to avoid the stresses of face-to-face performance counseling.

At the same time, the Marine Corps' only performance appraisal instrument, the Fitness Report, does provide the Marine Corps with relatively uncontaminated information with which the organization can make key personnel decisions. The rank-ordered distribution, that is, the "truth teller," and the narrative description provide the greatest share of the insight. The Fitness Report is, therefore, well suited to the institutional needs of the Marine Corps.

What is needed is an instrument, a second instrument, which has the following features:

(1) Behaviorally based to satisfy the criteria suggested by the Porter, Lawler, and Hackman ideal performance appraisal system model, and

(2) Integrated into the Performance Evaluation System with sufficient administrative controls to ensure that reporting seniors are, in fact, executing their duties to the letter and in the spirit intended.

A possible instrument which might satisfy the Porter, Lawler, and Hackman criteria is behaviorally anchored rating scales (BARS). No other appraisal system, with significant coverage in organizational behavior literature, is so behaviorally based. Since adequate administrative controls are relatively simple to design, the critical questions are: do BARS, in fact, satisfy the Porter, Lawler, and Hackman criteria? Are they feasible for the Marine Corps?

Chapters 3 and 4 examine these questions. Chapter 3 is descriptive in nature, in that it describes the early rationale for the development of BARS and presents, in some detail, the six-step development process. Chapter 4 is evaluative, in that it examines different viewpoints concerning the utility of BARS as a coaching/counseling instrument.

Chapter 3

BEHAVIORALLY ANCHORED RATING SCALES (BARS)

Because behaviorally anchored rating scales (BARS) are so uniquely behavioral in content and different from other performance appraisal formats, they will be introduced in three steps. First, an example of a behaviorally anchored rating scale (BARS) is presented to enable the reader to see one dimension of a final product. Second, the history of BARS development is briefly reviewed to portray the originally perceived need and motivation that led to the creation of a behaviorally-based appraisal system. An understanding of the background will help the reader better appreciate the vacuum BARS are intended to fill. Finally, the procedures used in the development of BARS are examined in detail to enhance the reader's understanding of the method, and his ability to judge for himself the method's validity and potential.

Preview: A BARS in Hand

With a behaviorally anchored rating scale (BARS) in hand, it will be somewhat easier to visualize the singular benefits their early proponents had in mind, and to follow the logic of the development sequence.

Figure 3, Dealing with the Public, is one of six BARS describing the range of job-related, performance behaviors expected of a police patrolman in the Dallas Police Department.¹ This set of BARS was developed by Thomas A. DeCotiis as part of a doctoral dissertation. DeCotiis determined that the precinct patrolman's job is comprised of six major dimensions. In addition to "Dealing with the Public," the major dimensions are:

- (1) Personal and Public Safety.
- (2) Breaking in New Officers.
- (3) Written and Oral Communication.
- (4) Maturity, Conscientiousness, Dedication, Integrity.
- (5) Teamwork and Cooperation.

Referring to Figure 3, it can be seen that the behaviorally specific levels of performance are all related to one specific facet of the overall patrolman's job: dealing with the public. It is also apparent that the behaviors are listed from "most effective" at the top to "least effective" at the bottom. Notice that there are seven behaviors, or incidents on the scale. The number of incidents, as will be discussed later, will vary depending on the job and the research design. Notice also that

¹Thomas A. DeCotiis, "The Development and Evaluation of Behaviorally Anchored Rating Scales for the Job of Police Patrolman," PhD dissertation, University of Wisconsin, 1974), pp. 284-290.

DEALING WITH THE PUBLIC - Respects the individuality of the citizen, and helps citizen with matters that may not be police business; maintains and develops the department's image through citizen contacts; treats each citizen contact as though it were important; exercises patience in citizen contacts -- takes time to listen to and calm down the citizen; maintains own "cool" regardless of citizen effort to provoke; avoids antagonizing or abusing citizen.

Read each example of patrolman behavior and then put a check-mark by the example that best represents how you would expect the patrolman you are rating to typically perform in this aspect of his job.

7. A patrolman was flagged down by a woman with several small children. The woman told the patrolman that she had no money or food for herself or her children. The patrolman assisted the woman in finding emergency help for herself and her children.
6. A patrolman noticed a new store about to open on his beat. The patrolman went to the location and introduced himself to the owners, explained available police programs, and discussed building security with them.
5. A patrolman and his partner were called to a disturbance between a drunk man and his wife. The husband told the patrolmen that he was going to "work them over" if they didn't get out of his house. This patrolman explained to the man that they were not looking for trouble, but only for a way to help the man and his wife. After about 20 minutes of talking, the man willingly went to a neighbor's house to spend the night.
4. A patrolman was called to a domestic disturbance where a man had threatened to kill his wife. The patrolman talked to the man, while the man explained his troubles to the patrolman and calmed himself down.
3. When called to a family disturbance that is still in the talking stage, the patrolman listens for a few minutes in order to find out what the problem is. If the disturbance seems to be getting out of hand, the patrolman separates the parties and listens to both sides. He then brings them together again and lets them try to resolve the problem.
2. A motorist was stopped for running a red light. The motorist was polite at first contact and sorry that he had made a mistake. The patrolman lectured the motorist at length about his bad driving habits and ended up upsetting him.
1. A patrolman stopped a motorist for speeding in an old run-down car. The patrolman approached the vehicle and said to the driver, "I'm surprised you can move, let alone exceed the speed limit in this heap".

Figure 3.

Dealing with the Public

Dealing with the Public is one of six job dimensions. The number of job dimensions may vary from 5 to as high as 21. Finally, it should be noted that the BARS are devoid of ambiguous traits and other vague references to personality.

For the benefit of the reader four additional complete sets of BARS are incorporated into this study as Appendixes C, D, E, and F. They are interesting because each is a military application of BARS theory. The appendixes focus on Naval officers, U.S. Navy recruiters, West Point cadets, and Marine Corps recruiters. Now, what do these BARS do that other appraisal instruments do not? To answer this question it is necessary to review the work of Patricia C. Smith and L. M. Kendall, the original researchers and proponents of BARS.

History of BARS Development

The history of BARS development falls into two periods: the 1960's and the 1970's. In 1963, Smith and Kendall reported their revolutionary performance appraisal system in a seminal article in the Journal of Applied Psychology. This methodology laid dormant until the early 1970's when it attracted a small but ardent following.

1963: The Seed

Smith and Kendall felt that traditional trait-oriented appraisal instruments developed for organizations

by psychologists resulted in the psychologists' values, interpretations, and beliefs about behavior being imposed on the raters.²

As noted in Chapter 2, Smith and Kendall suggested that traditional rating procedures were not taken seriously by raters because the raters felt the appraisal instruments lacked face-validity. Smith and Kendall reasoned that the lack of face validity led to a decreased commitment on the part of the raters, and this, in turn, tended to result in considerable psychometric error. They hypothesized that valid, reliable appraisal instruments could be developed with the participation of persons knowledgeable in the particular job. They decided upon a variation of the critical incident method in which a range of reasonably expectable hypothetical behaviors would be generated by supervisors familiar with the job for which the instrument was being developed. The incidents would be sorted by related types into job dimensions. For instance, all incidents describing some manner of speaking or writing would probably be grouped into a dimension titled "communications" and incidents related to an ability to fix machinery would be grouped under "mechanical aptitude." Then all behaviors within one dimension would

²Patricia C. Smith and L. M. Kendall, "Retranslation of Expectations: An Approach to the Construction of Unambiguous Anchors for Rating Scales," Journal of Applied Psychology, 47, No. 2 (1963), p. 149.

be scaled in levels from "most effective" to "least effective." It was reasoned that an employee's actual performance would reside somewhere along the resulting scales. It was also reasoned that the participation would lead to scaled behaviors described in the language related to the job and reflecting insight into the nature of the job. This, hopefully, would lead to increased commitment on the part of the supervisors in completing ratings because of the obvious validity and usefulness of the descriptions.

Smith and Kendall concluded that:

The potential advantages of scales . . . are obvious; they are rooted in, and referable to, actual observed behavior; evaluations of the behavior have been made by judges at least reasonably comparable to those who will eventually use the scales; . . .³

At the time of their original work on the BARS, Smith and Kendall were attempting to cope with three psychometric problems evident in existing performance appraisal formats: central tendency, halo, and leniency. Accordingly they expected the BARS would reduce the three sources of measurement error because:

The use of expected behaviors is intended to encourage such conscientiousness by making the predictions (a) so concrete that, in view of previous agreement by the peer (head nurse) group, central tendency or hedging effects will be minimized; and (b) so verifiable that the insight, judgement, values, etc., of the

³Ibid., p. 154.

rater are potentially challenged if later behavior of the ratee should fail to confirm the prediction.⁴

It is interesting to note that little, if any, further research was performed on the BARS process from 1963, when the Smith and Kendall article first appeared in the Journal of Applied Psychology, until 1973. It is worth noting that the original researcher's interest in the scales was in large part psychometric and not operational. Operational refers to the standard organizational uses of an appraisal instrument: assignments, selection, promotion, counseling. Psychometric means problems purely in measurement such as validity, reliability, and error.

The 1970's: The Sapling

In 1973 and 1974 several articles appeared reporting further research into BARS, again, focusing primarily on psychometric considerations. In 1976, William J. Kearney wrote his first of three articles on the operational possibilities of BARS.⁵ The Kearney articles, in

⁴Ibid., p. 151. The word "prediction" refers to the use of the phrase "Could be expected . . ." which precedes each level of behavior within a performance dimension. This phraseology is used to facilitate the rating of a person in a particular performance dimension even though the person's performance relative to that dimension was not, in fact, observed. Thus Smith and Kendall are saying that a rater is well advised not to be too generous in marking an unobserved dimension because subsequent observation of the ratee in this dimension may not bear out either an undeservedly inflated or severe rating.

⁵These articles are cited extensively in Chapter 4.

the opinion of the author, have been largely responsible for bringing BARS out of the classroom and into the business world.

Before considering in detail the operational properties of BARS, as well as a number of additional advantages and reported disadvantages, it is necessary to know how they developed. It will be obvious that a number of the psychometric problems could stem from a poorly designed or executed development procedure. Many of the indirect advantages, however, stem from the development process as well.

BARS Development Procedures

BARS are developed following a six-step procedure originally developed by Smith and Kendall in 1963. Since the publication of their study, over twenty other BARS studies have been described in periodicals and dissertations. Each of the subsequent researchers used a BARS development methodology which varied only slightly from the original Smith and Kendall method. Successive refinements to the basic procedures resulted from insights generated by each succeeding study. To effectively present the refinements to BARS methodology it is necessary to present an overview of the six-step process. Then each step will be described in more detail based upon findings of the more recent studies.

It must be borne in mind that the object of the BARS development process is to break a job down to its component parts, that is, into its various job dimensions. Then, within each job dimension, to describe the range of specific behaviors which an observer can reasonably expect to see a worker exhibit. Finally, the behaviors within each job dimension must be scaled from that which is "most effective" in leading to organizationally desirable results to that which is "least effective." A feature which contributes to the reliability of the Smith and Kendall six-step procedure is the separation into two groups of those equally qualified, job-knowledgeable supervisors in the organization who will be working with the researcher.⁶ The purpose of the second group, essentially, is to validate the product of the first group. Table 1 summarizes the six-step process.

⁶L. L. Cummings and Donald P. Schwab, Performance in Organizations: Determinants and Appraisal (Glenview, IL: Scott, Foresman, 1973), p. 94.

Table 1.

Modified Smith & Kendall
BARS Development Procedure.⁷

Step/ Participants	Activity
1 Group A	<u>Incident Generation</u> Group A generates an exhaustive list of critical incidents and mid-range, average behaviors observed on the job. This should encompass all incidents from every imaginable facet of the job.
2 Group A	<u>Clustering & Scaling</u> First, Group A separates the incidents into clusters of related behaviors. The clusters, upon further refinement, emerge as job dimensions. Normally 8 to 12 job dimensions are identified. Second, the group scales the behaviors within each job dimension from "most effective" in terms of producing organizationally effective results to "least effective."
3 Group B	<u>Retranslation of Clustering & Scaling</u> Group B is provided with the incidents generated by Group A in Step 1. Group B then replicates the clustering and scaling tasks performed by Group A in Step 2. At this point the researcher has two sets of raw, unrefined BARS. This step is referred to by Smith and Kendall as the retranslation step because it resembles the drill wherein a second student retranslates back into the original language a paragraph translated into

⁷Particia Cain Smith and L. M. Kendall, "Retranslation of Expectations: An Approach to the Construction of Unambiguous Anchors for Rating Scales," Journal of Applied Psychology, 47, No. 2 (1963), pp. 151-155.

English from a foreign language paper by a first student.⁸

4
Researcher

Reconciliation of Clusters, Rescaling

The two groups' results are reconciled if necessary. Reconciliation will be necessitated by Group B identifying more, fewer, or significantly different job dimensions than Group A. Group A and B are asked to agree, if possible, on a set of job dimensions. To the extent agreement is reached, each group, separately, reassigns the incidents and behaviors effected by the reconciliation to the appropriate job dimension, and rescales those job dimensions in which changes have occurred. At this point the researcher carefully examines and compares the results. Those behaviors which were either not assigned to a job dimension or were assigned to different job dimensions by Groups A and B are dropped.

5
Researcher

Examination for Variance

Each job dimension is examined in detail. The surviving behavioral incidents are examined for variance relative to the degree of agreement between Groups A and B where the specific behaviors should be located in the "most effective"--"least effective" behavior scale. This involves determining the mean scale rating for each retained incident, and its standard deviation as well.

⁸Marine Corps Order P1510.238, Instructional Systems Development, describes an alternative method for analyzing the content of a job. The focus of the order is the development of training systems by analyzing job content in considerable detail. The order established a hierarchy of job-related terms with specific operational definitions of each. The terms and definitions are: job--the duties and tasks performed by a single worker constitute his/her job. If identical duties and tasks are performed by several individuals, they all hold the same job; duty--one of the major subdivisions of work performed by one individual. One or more duties constitute a job, task--formed in clusters which make up duties. A task is the lowest level of behavior in a job that describes the performance of a meaningful function in the job under consideration. This document and its spin-off will be referred to in Chapter 6.

6
Researcher

Final BARS

Incidents whose degree of variance lie within pre-determined limits are retained; those which exceed the limits are dropped. The retained behavioral incidents residing with the job dimension agreed upon by Groups A and B constitute the resultant BARS. Normally the BARS will be comprised of 8 to 12 job dimensions and from 7 to 9 scaled behavioral incidents within each job dimension.

From a reading of Table 1, it is reasonably clear that the development of a set of BARS which "involves considerable developmental effort"⁹ is a major project. A number of the subsequent researchers have reported lessons learned and insights which should ease the path for future BARS developers. One or more of the lessons learned and insights are applicable to each of the six general steps. The following paragraphs amplify each step based upon recently reported BARS development studies.

Step 1: Incident Generation

Incident generation is relatively complicated. While it is difficult to describe one step as more important than the rest, the first step is the one most frequently alluded to as a source of problems. Lessons learned and insights fall into four general categories.

Participation of Supervisors. First, Smith and Kendall hypothesized that supervisors "share some common

⁹Cummings and Schwab, loc. cit.

core of experience and of values concerning behavior on the jobs they will rate."¹⁰ Thus they also have more first hand knowledge of what behaviors occur on the job, and of those behaviors, which lead to acceptable performance. Equally important is that their generation of incidents produces inputs expressed in the language of the organization.^{11,12} This use of organizationally peculiar language should result in incidents which are less ambiguous and more relevant to the persons who will ultimately use the BARS.¹³ Finally, the participation of supervisors in developing incidents should have a favorable impact on both the validity and reliability of the final BARS.¹⁴

Number of Incidents Generated. Second, realizing that a number of the generated incidents will probably be

¹⁰Smith and Kendall, op. cit., pp. 150-151.

¹¹A. Benton Cocanougher and John M. Ivancevich, "'BARS' Performance Rating for Sales Force Personnel," Journal of Marketing, 42, No. 3 (July, 1978), p. 89.

¹²John P. Campbell and others, "The Development and Evaluation of Behaviorally Based Rating Scales," Journal of Applied Psychology, 57, No. 1 (February, 1973), p. 15.

¹³John M. Ivancevich, "Expectancy Theory Predictions and Behaviorally Anchored Scales of Motivation: An Empirical Test of Engineers," Journal of Vocational Behavior, 8, No. 1 (February, 1976), p. 73.

¹⁴Lawrence Fogli, Charles L. Hulin, and Milton R. Blood, "Development of First-Level Behavioral Job Criteria," Journal of Applied Psychology, 55, No. 1 (February, 1971), p. 7.

set aside because of lack of agreement between Groups A and B in clustering the incidents under the same job dimension, and because of excessive variance, the question is how many incidents must be generated? There is no single answer. A well constructed set of BARS is said to feature 8 to 10 job dimensions with 7 to 9 incidents within each dimension. Accordingly the minimum number of incidents required ranges from 56 to 108, and that is without setting any aside during steps 3 through 6. Clearly many more incidents than the minimum range are needed prior to commencing clustering and scaling. Goodale and Burke obtained 360 potentially useful incidents in a 1975 study in which BARS were developed for nurses. After retranslation and examination for variance, their BARS resulted in 10 dimensions of 6 or 7 incidents each. As a result they used less than 70 incidents from their original population of 360.¹⁵ Fogli, Hulin, and Blood generated 251 incidents for grocery store checkout clerks alone! Although their article did not state the number which comprised the final set of BARS, this author's estimate, based on inferences drawn from their article, is that less than 80 were finally used.¹⁶

¹⁵Donald P. Schwab, Herbert G. Heneman, III, and Thomas A. DeCotiis, "Behaviorally Anchored Rating Scales: A Review of the Literature," Personnel Psychology, 28, No. 4 (Winter, 1975), pp. 557-558.

¹⁶Fogli, Hulin, and Blood, loc cit.

It is important, therefore, to generate a large number of incidents. This author recommends that a minimum of 200 incidents be written prior to advancing to Step 2--Clustering and Scaling. A caveat is that each of the incidents must be able to stand alone, that is, incidents cannot be created whimsically simply to generate a minimum number.

Need for Mid-range Incidents. Third, critical incidents are the most easily generated. This is because, as examples of extremely good or extremely poor behavior, critical incidents are the ones most easily remembered by supervisors. But BARS require much more information on job-observable behavior than only the very best and the very worst examples. Smith and Kendall dealt with the question as follows:

Use of critical incidents, although extremely desirable because of reference to observed behavior (Flanagan, 1949), was eliminated since pretests had indicated that because of variations in the nursing situation a specific critical behavior often could not occur and hence could not serve as a basis for rating; and since most critical incidents cited tend to be too extreme for good psychometric policy which requires most accurate rating near the mean, rather than at the extremes.¹⁷

Reliance on critical incidents leaves a void in the mid-region where the vast majority of behavior tends to take

¹⁷Patricia Cain Smith and L. M. Kendall, "Retranslation of Expectations: An Approach to the Construction of Unambiguous Anchors for Rating Scales," Journal of Applied Psychology, 47, No. 2 (1963), p. 150.

place. Robert S. Atkin and Edward J. Conlon recommended concentrating on a central tendency measure in beginning to build the list of incidents.¹⁸ Clearly the generation of mid-range behavior is a problem the researcher must be alert to. Generation of useful mid-range behaviors, as reported by three different studies, can be difficult.^{19,20,21} This poses a paradox for the researcher: ". . . because most behavior occurs in the mid-range, it is there that accurate appraisal is particularly necessary. Extremely good and extremely poor performers could probably be identified by much coarser evaluation systems."²²

. Techniques for Generating Incidents. Finally, two studies reported specific techniques to encourage participating supervisors to produce a set number of incidents. In one case supervisors were simply asked to describe five

¹⁸Robert S. Atkin and Edward J. Conlon, "Behaviorally Anchored Rating Scales: Some Theoretical Issues," Academy of Management Review, 3, No. 1 (January, 1978), p. 124.

¹⁹Ibid.

²⁰Richard W. Beatty, Craig E. Schneir, and James R. Beatty, "An Empirical Investigation of Perceptions of Ratee Behavior Frequency and Ratee Behavior Change Using Behavioral Expectation Scales (BES)," Personnel Psychology, 30, No. 4 (Winter, 1977), p. 655.

²¹Frank J. Landy and Robert M. Guion, "Development of Scales for the Measurement of Work Motivation," Organizational Behavior and Human Performance, 5, No. 1 (January/February, 1970), p. 101.

²²Atkin and Conlon, op. cit., p. 123.

examples of effective performance and five examples of ineffective performance.²³ In another, supervisors were given the names and narrative descriptions of the described job dimensions and asked to describe for each job dimension one example each, of good, satisfactory, and poor job behavior.²⁴ Using either approach the researchers will have no difficulty eliciting two hundred plus incidents assuming they have a sufficiently large number of supervisors participating. The second approach appears to cause the participating supervisors to concentrate on the satisfactory mid-range behavior. Another study accomplished the generation of incidents with a tightly controlled process in which each participating supervisor was asked specific questions related to predetermined job dimensions by the researcher.²⁵

By specifying the job dimensions the researcher provided the catalyst around which the participating supervisors would cluster and scale the incidents in Step

²³John F. Campbell, and others. "The Development and Evaluation of Behaviorally Based Rating Scales," Journal of Applied Psychology, 57, No. 1 (February, 1973), p. 16.

²⁴Sheldon Zedeck, and others. "Development of Behaviorally Anchored Rating Scales as a Function of Organizational Level," Journal of Applied Psychology, 59, No. 2 (1974), p. 250.

²⁵Lawrence Fogli, Charles L. Hulin, and Milton R. Blood, "Development of First-Level Behavioral Job Criteria," Journal of Applied Psychology, 55, No. 1 (February, 1971), pp. 3-4.

2. In each of the foregoing examples of "priming the pump," the researchers were ensuring the generation of an adequate number of incidents. In addition they were also attempting to influence the range of incidents to ensure the job domain was described completely and exhaustively. If a job is only partially covered by the generated incidents, the BARS could end up defective.²⁶

Step 2: Clustering and Scaling

Clustering and scaling is somewhat more straightforward than incident generation. It is actually two tasks. In the clustering aspect the group attempts to gather together related behaviors such as communication skills, organizational ability, reaction under pressure and so on. Having clustered the behaviors, an attempt is made to define the job dimension in terms of the behaviors which appear to comprise the cluster. A consensus is reached in the group as to the number and definition of the job dimensions. Then each member makes final adjustments in terms of the job dimension to which the person has assigned each behavior.²⁷ At this point the researcher analyzes the result. Seventy percent of the group members must assign each behavior to the same job

²⁶A. Benton Cocanougher and John M. Ivancevich, "'BARS' Performance Rating for Sales Force Personnel," Journal of Marketing, 42, No. 3 (July, 1978), p. 89.

²⁷Ibid., p. 90.

dimension for the behavior to be retained.^{28,29,30} This process is called "agreement."

The researcher may assign any percentage that seems justifiable. Reports studied reflect percentage of agreement as low as 60 percent. Conversely, one study required agreement at the 80 percent level. If the percentage of agreement is less, the behavior is dropped.

Now scaling can begin. Group members now attempt to scale the incidents on a seven to ten point continuum. "Most effective" behaviors and "least effective" behaviors provide the anchors, the less extreme and the mid-range behaviors fill the center.³¹ Once the scaling is completed the researcher has a preliminary set of BARS. Now, to ensure a higher level of validity and reliability the generated incidents, less those dropped for lack of agreement, are scrambled and given to Group B for a separate, independent "retranslation."

Step 3: Retranslation

Retranslation is a reiteration of clustering and scaling in which the supervisors in Group B work with the

²⁸Donald P. Schwab, Herbert G. Heneman, III, and Thomas A. DeCotiis, "Behaviorally Anchored Rating Scales: A Review of the Literature," Personnel Psychology, 28, No. 4 (Winter, 1975), p. 558.

²⁹Cocanougher and Ivancevich, op. cit., p. 90.

³⁰Zedeck and others, loc. cit.

³¹Cocanougher and Ivancevich, loc. cit.

surviving incidents generated by Group A. Retranslation assures highly specific and non-ambiguous meaning to the job dimension and eliminates incidents which do not fall clearly into a single dimension.³² In this step, the researchers have the latitude to provide Group B with identity and definitions of job dimensions developed by Group A.³³ On the one hand, providing the identity and definitions of job dimensions obviates the cumbersome reconciliation process, but on the other, it restricts Group B's original contribution and possibly limits the degree of validity and reliability that the use of a second group adds to the project. Prior to scaling, the researcher will analyze the Group B results to eliminate those behaviors for which there is less than 70 percent agreement in assignment to clusters. The retranslation procedure may lead to unanticipated eliminations.

Smith and Kendall cited the following example:

Some of the eliminations are interesting in themselves; items designed to illustrate "Reaction under Pressure", for example, were frequently allocated to "Organizational Ability" or "Knowledge and Judgment", on the grounds that a certain degree of crisis is normal in

³²Schwab, Heneman, and DeCotis, op. cit., p. 552.

³³John P. Campbell and others. "The Development and Evaluation of Behaviorally Based Rating Scales," Journal of Applied Psychology, 57, No. 1 (February, 1973), p. 16.

nursing and ability to meet it involves primarily establishing priorities and knowing what to do.³⁴

At this point, however, the researcher has two sets of unrefined BARS. The researcher may find that the unrefined BARS have gaps.³⁵ One suggestion has been to ask the participants to generate additional behaviors which appear to fill in the existing gaps. The assumption is that the "filler" behaviors would be mutually agreeable to both groups.

Step 4: Reconciliation

Reconciliation, if it is necessary, is accomplished prior to examining for variance. A number of the studies reflected that researchers acting as facilitators in the first three steps made unnecessary subsequent reconciliation of the Group A and B results.^{36,37,38} An interesting corollary to this problem is the studies in which both

³⁴Patricia Cain Smith and L. M. Kendall, "Re-translation of Expectations: An Approach to the Construction of Unambiguous Anchors for Rating Scales," Journal of Applied Psychology, 47, No. 2 (1963), pp. 152-153.

³⁵Campbell and others, loc. cit.

³⁶Campbell and others, loc. cit.

³⁷Lawrence Fogli, Charles L. Hulin, and Milton R. Blood, "Development of First-Level Behaviors Job Criteria," Journal of Applied Psychology, 55, No. 1 (February, 1971), p. 4.

³⁸Timothy J. Keaveny and Anthony F. McGann, "A Comparison of Behavioral Expectation Scales and Graphic Rating Scales," Journal of Applied Psychology, 60, No. 6 (1975), p. 696.

supervisors and workers participated in the incident generation and clustering/scaling steps. In these situations it was found that the incidents and subsequent clusters would be basically in agreement but the workers would develop one or more job dimensions that were distinctly different from one or more of those developed by supervisors.³⁹ The conclusion is that persons at different levels in the organization will have different perceptions of the job domain.^{40,41}

Step 5: Examination for Variance

Examination for Variance is the quality control measure related to scaling. All members of Groups A and B scale each retained incident within the job dimension using a 10 point scale. The scale numbers assigned by each member of Group A and Group B for each incident are summed, averaged, and computed for standard deviation. If the result shows the incident to have a standard deviation of less than 1.50, that behavior is retained. At the discretion of the researcher the standard deviation criterion

³⁹Sheldon Zedeck and others, "Development of Behaviorally Anchored Rating Scales as a Function of Organizational Level," Journal of Applied Psychology, 59, No. 2 (1974), pp. 249-250.

⁴⁰Ibid., p. 251.

⁴¹Milton R. Blood, "Spin-offs from Behavioral Expectation Scale Procedures," Journal of Applied Psychology, 59, No. 4 (August, 1979), pp. 513-514.

can range between + or - 1.00 and + or - 2.00.^{42,43,44} The behavior is inserted in the final BARS at a point on the scale that represents its scalar average.

Step 6: Final BARS

The Final BARS are compiled once the examination of variance has been completed. The BARS are comprised of those surviving incidents which are now clustered in related job domains and scaled in a hierarchical fashion along a range of 10 to 0. As a rule there will be from 8 to 12 job dimensions with 7 to 9 incidents each.⁴⁵ It is not necessary or even desirable to stay within the indicated ranges if there is sufficient reason for greater or lesser numbers of job dimensions or incidents. One study reported 21 job dimensions.⁴⁶

As a last adjustment, the researcher frequently drafts each behavior such that it reads "could be expected to . . ." This convention was begun by Smith and Kendall who believed that:

⁴²Schwab, Heneman, and DeCotiis, op. cit., pp. 558-559.

⁴³Zedeck and others, op. cit., p. 250.

⁴⁴Campbell and others, loc. cit.

⁴⁵Robert S. Atkin and Edward J. Conlon, "Behaviorally Anchored Rating Scales: Some Theoretical Issues," Academy of Management Review, 3 No. 1 (January, 1978), p. 122.

⁴⁶Zedeck and others, op. cit., pp. 250-251.

. . .Calling for the rater to make such predictions implies that he is willing to infer from observations of behavior, that he has his own--at least implicit--belief about the intercorrelation of behaviors.⁴⁷

The "could be expected. . ." format is mentioned consistently in BARS related literature. Paradoxically none of the BARS examples which accompany this study were expressed in the predictive manner.

Assuming BARS were put to a Marine Corps application the necessity to make predictions should be obviated by the tendency of most officers to know their men well and to observe their performance throughout a marking period. For a reporting senior to fail to have such knowledge is considered to be poor leadership.

Summary

It can now be appreciated why behaviorally anchored rating scales have such an intuitive appeal. The example of a BARS, Dealing with the Public, provided the reader with a set of behavioral descriptions that he was easily able to relate to his observations of police officers over the years. Hopefully, the reader was able to recall police officers whose behavior would have matched that behavior described at the "most effective" end of the scale. Possibly the reader recalled some behavior that

⁴⁷Smith and Kendall, op. cit., p. 150.

would be pegged further down the scale. In either case, there is little question that the BARS, Dealing with the Public, has considerable surface validity. The example was followed by a review of the history of BARS development. This review enabled the reader to appreciate the vacuum which BARS are expected to fill. Finally, the detailed description of the six-step process acquainted the reader with the uniquely behavioral content of a BARS and the careful, circumspect process by which they are developed. From the foregoing, it can be seen that BARS are worth considering carefully as a potential coaching/counseling instrument for the Marine Corps.

This chapter has been essentially descriptive and non-judgmental. The following chapter is evaluative in nature. BARS will be examined from the viewpoints of the protagonist as well as the antagonist. At the end of the chapter the reader will have a considerably clearer picture of the full potential of BARS as a performance coaching/counseling instrument.

Chapter 4

VIEWPOINTS ON BARS

In the growing body of literature on the subject, behaviorally anchored rating scales (BARS) have been praised for their usefulness as a counseling tool and feedback mechanism, and because the development process provides unforeseen benefits to the organization, over and above counseling advantages. At the same time, they have been criticized for psychometric reasons and for research design considerations. In evaluating BARS, it is useful to consider these viewpoints, but only from the aspect from which they address BARS. Both the favorable and the unfavorable comments must be carefully scrutinized before making the decision to accept or reject BARS as a coaching/counseling instrument. It is as serious to accept BARS for favorable but fallacious reasons as it is to discount them for unfavorable yet easily rectified criticisms.

There are five different collective viewpoints on BARS. The first four relate directly to BARS as a performance appraisal concept; the fifth pertains to spin-off benefits from the development process. The first set of viewpoints reflects specific advantages determined by behavioral scientists in the conduct of their studies. The second set of viewpoints are positive operational characteristics attributed to BARS. While a number of managers

and scholars have written on this topic, the focus is on one author to show the development of thought in this area over a relatively short time. The third set of viewpoints is directed toward psychometric properties of BARS. Considerable disagreement can be found on the subject of BARS psychometrics. The fourth set of viewpoints encompasses disadvantageous aspects of BARS as seen by a number of researchers. Fifth, and finally, are benefits attributed to BARS which are not specifically related to the performance appraisal process.

Advantages of Using BARS

Researchers have identified five significant advantages of BARS over traditional rating formats. The advantages are (1) identification of major job components, (2) clear and unambiguous language, (3) ability to pinpoint employee behavior, (4) reduction of disagreement between rater and ratee, and (5) improvement of performance.

Identification of Major Job Components

Among the primary operational advantages of BARS over other forms of appraisal instruments, particularly traditional formats such as graphic rating scales, rank ordering, etc., is that the major dimensions of the job

are identified through the incident generation and clustering techniques.^{1,2} Job dimensions, coupled with the description of each dimension written in behavioral terms, enable the supervisor to communicate more effectively the supervisor's expectations to the new employee. Job descriptions derived through the BARS development process are considered to be superior to job descriptions prepared through other means.³

Language of BARS is Clear and Unambiguous

Because BARS are written with supervisors' input, they are likely to result in clear and unambiguous terminology. Not only the terminology but the fact that job knowledgeable persons participated in the development procedure may promote greater acceptance of the appraisal by both the rater and the ratee.⁴ It is predicted that such acceptance "may have a direct positive impact on the

¹Thomas A. DeCotiis, "An Analysis of the External Validity and Applied Relevance of Three Rating Formats," Organizational Behavior and Human Performance, No. 19 (August, 1977), p. 249.

²Donald P. Schwab, Herbert G. Heneman, III, and Thomas A. Deotiis, "Behaviorally Anchored Rating Scales: A Review of the Literature," Personnel Psychology, 28, No. 4 (Winter, 1975), p. 559.

³Wendell L. French, The Personnel Management Process (4th ed.; Boston: Houghton Mifflin, 1978), pp. 173-180.

⁴A. Benton Cocanougher and John M. Ivancevich, "BARS' Performance Rating for Sales Force Personnel," Journal of Marketing, 42, No. 3 (July, 1978), p. 90.

reliability of the ratings."⁵ Reliability, as well as validity, is important in performance appraisal. In fact, concern with psychometric error was one of the primary reasons driving Smith and Kendall's original research on BARS.

Pin-Point Employee Behavior

The scaled behaviors enable the supervisor to accurately pin-point an employee's behavior. While the scales are not finite, the "most effective" to "least effective" behavior enables the supervisor to juxtapose upon or to insert the observed behavior between articulated behaviors recorded on the BARS for the particular job dimension. From the viewpoint of individual and organizational development the task is actually one of motivating the employee to strive for a higher level behavior. Even the most enthusiastic proponents of BARS, however, admit that having BARS available for coaching and counseling does not either guarantee that the rated employees will want to know where they stand, or ensure that the rating supervisors will overcome their afore mentioned reluctance to counsel.⁶ At this juncture, concepts of motivation such as Expectancy Theory, Path-Goal Theory, and Equity Theory, which are beyond the scope of the thesis, come to bear.

⁵Schwab, Heneman, and DeCotiis, op. cit., p. 552.

⁶William J. Kearney, "Improving Work Performance Through Appraisal," Human Resource Management, 17, No. 2 (Summer, 1978), p. 23.

Then by identifying on-the-job behavior and placing it in the hierarchy of evaluated behaviors, the supervisor is in a much better position, both during the initial employee orientation and the performance appraisal interview employ these very plausible motivation theories.⁷ The point is that BARS address the sources of rater and ratee resistance to effective performance counseling. They "provide clear-cut goals, a useful method of measuring behavior for improvement, and feedback in a form that makes changing behavior and performance easier."⁸

Reduction of Rater-Ratee Disagreement

Related to the reluctance to counsel is the fear that the person being counseled will react negatively to the counseling. Frequently, the reason for the negative reaction is an honest disagreement with the rater over the frequency of occurrence of past behaviors which led to the result recorded on the performance appraisal. An important study by Richard W. Beatty, Craig E. Schneier, and James R. Beatty concluded that use of BARS reduces rater-ratee disagreement concerning the job behavior of the ratee. In this study, the effectiveness of BARS was compared against two other appraisal formats. One was a

⁷James G. Goodale and Ronald J. Burke, "Behaviorally Based Rating Scales Need Not be Job Specific," Journal of Applied Psychology, 60, No. 3 (June, 1975), p. 389.

⁸Kearney, loc. cit.

single, global, 100 point scale of overall performance; the other was a series of job dimensions each featuring a five-point, adjective-anchored scale. The BARS, because they are behavioral in nature coupled with their other development features, were demonstrated to be clearly superior.⁹ The impact of this finding is very important. It suggests that BARS have the potential to reduce significantly the amount of reluctance to counsel and presumably, to be counseled, that stems from rater-ratee disagreement.¹⁰

Improvement of Performance

A most significant finding in the same study provides the single most persuasive argument for the adoption of BARS. BARS were compared with the other two formats to measure effectiveness as a means of improving performance. The authors concluded that BARS "may be useful in improving performance if clear performance expectations are agreed upon and specific (behavioral) feedback is given ratees."¹¹ The performance expectations referred to are the scaled behaviors within each job dimension.

⁹Richard W. Beatty, Craig E. Schneir^e, and James R. Beatty, "An Empirical Investigation of ^λ Perceptions of Ratee Behavior Frequency and Ratee Behavior Change Using Behavioral Expectation Scales (BES)," Personnel Psychology, 30, No. 4 (Winter, 1977), pp. 650-653.

¹⁰Ibid.

¹¹Beatty, Schneir^e, and Beatty, op. cit., p. 653.

The feedback is assisted by using the scales to observe, analyze, and coach the employee concerning the improvement of his on-the-job behavior. BARS are uniquely able to facilitate feedback on a behavioral basis. No other form of performance appraisal instrument known to the author facilitates the unambiguous statement of behavioral expectations and rendering of objective feedback to the degree that BARS do.

An equally important study related to performance and attitudes toward performance appraisal was reported by John M. Ivancevich in the April, 1980, Journal of Applied Psychology. He conducted a study over a twenty month period of professional engineers in a large corporation. The purpose was to compare the effectiveness of behavior expectation scales (BES) against the company's long-standing, familiar, trait evaluation system.¹² The study tested the following two hypotheses:

- (a) Engineers being rated with a BES will report more favorable reactions to performance evaluation characteristics, less job-related tension, more job satisfaction, greater organizational commitment, and higher internal motivation than engineers being rated with a trait based system.
- (b) Engineers being rated with the BES will show more improvement on three performance measures--cost, scheduling, and grievances--than engineers being rated by a trait evaluation system.¹³

¹²John M. Ivancevich, "A Longitudinal Study of Behavioral Expectation Scales: Attitudes and Performance." Journal of Applied Psychology, 65, No. 2 (April, 1980), pp. 139-146. Behaviorally anchored rating scales (BARS) are referred to by a number of behavioral scientists as behavioral expectation scales (BES).

¹³Ibid., p. 140.

Ivancevich concluded:

The results indicate, however, that the BES system engineers showed and reported more improvements in attitudes and performance than engineers using the trait system.

The positive improvements in attitudes and performance were certainly welcomed by the management of the organization. They are also especially significant when one considers that the BES raters received no formal training using the scales, only some of the raters were actually involved in the development of the BES, and the system was in use for just 18 months.¹⁴

Operational Characteristics of BARS

William J. Kearney has written three thought-provoking articles on the operational characteristics of BARS. The first article presented a broad concept for BARS used as a coaching/counseling instrument. The second article focused on the capability of BARS to provide specific, descriptive feedback. The third, and most recent article, suggests that managers use management by objectives (MBO) and BARS as integrated, complementary techniques with which to assess behavior, performance, effectiveness, and results.

In 1976, in his first BARS article, Kearney noted that organizations hope to achieve two ends from their appraisal instruments: judgmental and developmental. Judgmental ends enable management to make decisions on

¹⁴Ibid., p. 145.

promotions and transfer; developmental ends enable managers to coach and counsel individual subordinates for the overall benefit of both the man and the organization. Managers cannot, he advises, achieve both from the same instrument.¹⁵

No single system can deal effectively with all the problems encountered in performance appraisal. Behaviorally based performance appraisal is no exception. However, it deals more effectively with the assignment than most other systems, such as trait rating, ranking, forced distribution, critical incidents, and management by objectives. The main characteristics are these:

It emphasizes development goals.

It is job specific.

It identifies definite, observable and measurable behavior.

It differentiates between behavior, performance and effectiveness (results).¹⁶

He stated BARS have five advantages over other appraisal methods: (1) appraisals are based upon observed behavior taken at regular intervals and are not trait related; (2) behavior observed during the interval can be matched with the results obtained, this gives the manager-appraiser substance with which to motivate the appraisee for improved performance; (3) the appraisal instrument is used by the persons who developed it, thus the appraisers both understand the instrument and have a commitment to

¹⁵William J. Kearney, "The Value of Behaviorally Based Performance Appraisals," Business Horizons, (June, 1976), pp. 75-77.

¹⁶Ibid., p. 77.

it; (4) related training programs can be developed which, on the one hand, improve the individual, and on the other, directly effect organizational performance; and (5) the development process for BARS, because it includes participation by organization members, identifies job behaviors which are effective, ineffective, in between, and ambivalent and thus facilitates the organization's ability to clarify policies associated with each behavior.¹⁷

In 1978, Kearney, focusing on the counseling and feedback problems inherent in performance counseling, wrote:

An examination of the nature of behavioral job descriptions and BARS suggests their advantages in providing feedback. Behavioral job descriptions focus on results. Since these appear on the job description, they are conveniently available for the job incumbent to use in self-evaluation through the appraisal period. Thus, there should be few surprises in the appraisal interview because continuous feedback is available. If for no other reason this advantage should encourage serious consideration of behavioral job descriptions. BARS provide data on behavior, not the person. This feedback does not challenge the individual as a person and therefore causes less defensiveness. Moreover . . . (see Figure 1) . . . information is in a form that most closely meets the rules for giving effective feedback:

- it is specific rather than general
- it is descriptive rather than evaluative
- it concentrates on behavior that can be changed
- it avoids the "why" behavior

¹⁷Ibid., pp. 81-82

--it is capable of validation by the receiver
--it is timely.¹⁸

More recently, in a 1979 article, Kearney has linked BARS to Management by Objectives (MBO). He notes that those employees who fail to achieve objectives set in an MBO process, may have no formal analytical apparatus available to them to identify exactly why the performance was below goal. Assuming the organization has developed BARS appropriate to the employee's job, Kearney suggests that development of more effective job skills by the employee be integrated into the action planning step during the next iteration of the organization's MBO sequence.¹⁹

Most recently, Craig Eric Schneier and Richard W. Beatty have developed integrated performance appraisal formats which combine effectiveness-based MBO measures with behaviorally-based BARS. Particularly noteworthy, according to the authors, is the format's ability to assist in the diagnosis of performance problems of the type referred to in the preceeding paragraph. Schneier and Beatty have described their proposal as an "integrated behavior-based/effectiveness-based PA format."²⁰ Their

¹⁸William J. Kearney, "Improving Work Performance Through Appraisal," Human Resource Management, 17, No. 2 (Summer, 1978), p. 22.

¹⁹William J. Kearney, "Behaviorally Anchored Rating Scales--MBO's Missing Ingredient," Personnel Journal, 58, No. 1 (January, 1979), pp. 22-24.

²⁰Craig Eric Schneier and Richard W. Beatty, "Combining BARS and MBO: Using an Appraisal System to Diagnose Performance Problems," The Personnel Administrator, (Summer, 1979), p. 56.

article provides three superlative figures which graphically portray a method for developing behavioral incidents, integrating the incidents with effectiveness-based criteria, and forming the combination into a clear, understandable instrument.

Psychometric Characteristics of BARS

In twenty-seven separate studies reviewed by the author in which a set of BARS were developed, twenty-two of the studies concentrate in whole, or in part, on psychometric aspects of BARS. Although a variety of psychometric measures were studied, those measures reported most frequently were leniency effects, dimension independence and reliability.²¹ This concern with psychometrics is not surprising when one remembers that Smith and Kendall's original research was performed, in part, to develop a psychometrically superior performance appraisal method. For instance, Smith and Kendall hoped to develop an instrument which would enhance validity and interrater reliability, and reduce leniency and central tendency errors. Indeed, they were able to conclude that the BARS

²¹Donald P. Schwab, Herbert G. Heneman, III, and Thomas A. DeCotiis, "Behaviorally Anchored Rating Scales: A Review of the Literature," Personnel Psychology, 28, No. 4 (Winter, 1975), pp. 553-557.

they developed achieved a high degree of scale reliability.²² Other studies also reported BARS to have highly favorable psychometric properties.²³ But there is a problem, not all subsequent studies have resulted in findings that BARS are psychometrically superior to other rating formats.²⁴

Opinion Divided on Psychometric Superiority

A number of articles, besides Smith and Kendall, credit BARS with enhancing one or more psychometric characteristics such as reduced halo, leniency, central tendency, and interpersonal bias error.²⁵ Roughly an equal number of studies are unable to support the findings of earlier studies, however, relative to the same characteristics.²⁶ None of these articles have suggested that BARS are decidedly inferior to traditional performance appraisal instruments. Other authors have reviewed the

²²Patricia Cain Smith and L. M. Kendall, "Retranslation of Expectations: An Approach to the Construction of Unambiguous Anchors for Rating Scales," Journal of Applied Psychology, 47, No. 2 (1963), p. 154.

²³Schwab, Heneman, and DeCotiis, op. cit., pp. 550-552.

²⁴Ibid.

²⁵A. Benton Cocanougher and John M. Ivancevich, "'BARS' Performance Rating for Sales Force Personnel," Journal of Marketing, 42, No. 3 (July, 1978), p. 93.

²⁶Thomas A. Decotiis, "An Analysis of the External Validity and Applied Relevance of Three Rating Formats," Organizational Behavior and Human Performance, No. 19 (August, 1977), p. 248.

literature to attempt to reconcile the disparate results. Their general approach is to analyze and critically review the design of each study in an attempt to trace the possible sources of the conflicting findings. The value of the proponent articles, and the articles which seek to synthesize or reconcile conflicting findings is that, in the aggregate, they represent all that has been learned about BARS to date. This body of BARS knowledge enables future researchers to design better studies. But it leaves one uncertain as to whether the psychometric properties of BARS are a positive, negative, or neutral factor in a decision to adopt or not to adopt BARS.

Psychometrics: A Neutral Factor

It is not possible to conclude that BARS, as a genre, possess superior psychometric characteristics. The issue of superior psychometric properties may be dependent upon the specific research design and BARS development process used in a particular study.²⁷ Perhaps it is safest to conclude that a specific set of BARS, painstakingly and circumspectly developed, incorporating all the pitfalls and lessons learned from earlier efforts, could possess superior psychometric properties. It is

²⁷H. John Bernardin, and others, "Behavioral Expectation Scales: Effects of Developmental Procedures and Formats," Journal of Applied Psychology, 61, No. 1 (February, 1976), pp. 78-79.

reasonable to assume that the nature of the job being researched, the knowledge of the researcher, and the exactitude of the BARS development effort will contribute to the psychometric properties being optimized. It is the author's opinion that, at worst, psychometric properties are a neutral issue in a decision to develop BARS. This is particularly so if one assumes that his organization's present performance appraisal instrument is also prone to psychometric error.

Given that psychometric characteristics are at worst a neutral factor, a BARS development decision will obviously hinge on an assessment of advantages versus disadvantages. What, then, are other disadvantages and potential problems that have been attributed to BARS?

Disadvantages and/or Short-comings of BARS

Five disadvantages and/or short-comings of BARS have been cited. They are: (1) high cost, (2) problems generated by discarding behaviors during the development process, (3) the complexity of behavior, (4) dislike of the format, and (5) necessity for training.

High Cost in Terms of Supervisor Participation

Development of a set of BARS requires a significant investment in time and requires that supervisors participating in the development be away from their primary

duties during the development process.²⁸ One to two weeks can be taken in indoctrinating supervisors, generating incidents, and clustering and scaling.²⁹

BARS are highly job specific. The same set of BARS could not be used both for warehousemen and inventory control technicians on one hand, or for clerk/typists and administrative assistants on the other.³⁰ Each separate job has a separate set of BARS. Thus it is more cost effective to develop BARS if there are a large number of persons doing one job than if there are only a few.³¹ Once developed BARS may need periodic, even frequent, updating as job content changes over time.³² This updating process will generate additional costs.

Problems Caused by Discarding Behavior Descriptions

This problem, which stems from the discarding of generated incidents during the "agreement" process and the

²⁸James G. Goodale and Ronald J. Burke, "Behaviorally Based Rating Scales Need Not be Job Specific," Journal of Applied Psychology, 60, No. 3 (June, 1975), p. 389.

²⁹Statement by Walter C. Borman, management consultant and author of several articles on BARS, personal interview, Minneapolis, Minnesota, 4 April 1980.

³⁰A. Benton Cocanougher and John M. Ivancevich, "'BARS' Performance Rating for Sales Force Personnel," Journal of Marketing, 42, No. 3 (July, 1978), p. 94.

³¹William J. Kearney, "Improving Work Performance Through Appraisal," Human Resource Management, 17, No. 2 (Summer, 1978), p. 21.

³²Walter C. Borman and W. Robert Vallon, "A View of What Can Happen When Behavioral Expectation Scales are Developed in One Setting and Used in Another," Journal of Applied Psychology, 59, No. 2 (April, 1974), p. 200.

analysis of variance "may have some potentially negative implications for the construct validity of the final BARS."³³ Raising the criteria for agreement from 60% to 80% will drop out potentially valid behavioral incidents. The converse is that lowering the criterion for agreement dilutes the independence of each job dimension, for it means that conceivably 40% of the supervisors believe that a particular behavior should be listed under another job description. In a related problem, it can be shown that raising the standard deviation criterion tends to drop out more mid-range behaviors than extreme range behaviors.³⁴ The complication raised by dropping too many behaviors is that an insufficient number of incidents remain to adequately describe the behavioral domain of a particular job dimension.³⁵

Complexity of Behavior

Common experience suggests that highly effective performance can be achieved by different persons exhibiting different behavior. Similarly, a single person can achieve high performance by a variety of behaviors. The point is that more than one type of behavior within a job dimension can lead to high performance.

³³Donald P. Schwab, Herbert G. Heneman, III, and Thomas A. Decotiis, "Behaviorally Anchored Rating Scales: A Review of the Literature," Personnel Psychology, 28, No. 4 (Winter, 1975), p. 559.

³⁴Ibid.

³⁵Ibid., p. 558-559.

Thus, it may be that raters perceive job performance as a configuration or gestalt of behaviors, and not as an event . . . If so one would expect a rater to experience considerable difficulty in generalizing from a specific behavioral anchor to typical ratee behavior.³⁶

Therefore the behavior that leads to effective performance within a job description is much more complex than a single behavioral incident can hope to describe.

Dislike of the Format

Two studies comparing BARS with other formats suggest that raters find the BARS format too complex. In one study comparing BARS with a graphic rating scale format, the graphic rating scale was preferred by raters.³⁷ In a study comparing graphic rating scales of traits, numerically anchored rating scales (NARS) and BARS, the BARS ranked last in general preference, ease of understanding, ease in performance counseling, and ability to satisfy training needs.³⁸

³⁶Thomas A. DeCotiis, "An Analysis of the External Validity and Applied Relevance of Three Rating Formats," Organizational Behavior and Human Performance, No. 19 (August, 1977), pp. 264-265

³⁷Barry A. Friedman and Edwin T. Cornelius, III, "Effect of Rater Participation in Scale Constuction on the Psychometric Characteristics of Two Rating Scale Formats," Journal of Applied Psychology, 61, No. 2 (April, 1976), p. 215.

³⁸DeCotiis, op. cit., p. 260.

Necessity for Training

Several studies point to the necessity to train raters in the purpose and use of BARS.³⁹ Because BARS are relatively more complicated than other appraisal formats, rating performed using the BARS format ". . . might benefit substantially from such training."⁴⁰ The training must be extended to teaching raters how to observe work-related behavior more competently.⁴¹ Another article suggested the scope of the training include self-appraisal by raters, ". . . exercises, cases, video-tapes, role playing and other similar approaches. . . to help raters identify and work to correct their own particular rating deficiencies."⁴²

"Spin-offs" from BARS Development

Now that the positive, neutral, and negative features directly related to BARS as a coaching/counseling

³⁹It is hard for a person with a military background to consider "training" on BARS purposes and use to be a disadvantage. Within a military organization training is conducted on the organization's performance appraisal system regardless of the format. In fact, training ensures increased quality in the completed performance appraisals.

⁴⁰Walter C. Borman and Marvin D. Dunnette, "Behavior Based Versus Trait-Oriented Performance Ratings: An Empirical Study," Journal of Applied Psychology, 60, No. 5 (October, 1975), p. 565.

⁴¹Ibid.

⁴²Cocanougher and Ivancevich, op. cit., p. 93.

instrument have been examined, it is worthwhile to look at the indirect, "spin-off" benefits that accrue to the organization that develops BARS. In reviewing the "spin-off" features one finds that not all benefits must be related to performance appraisal. Indeed, whether an organization uses BARS for performance appraisal or not, the tangential benefits alone may make the development process very useful and profitable.⁴³ Essentially there are five benefits:

1. supervisors broaden awareness of the job,
2. development procedures measure effectiveness of internal communications,
3. ambiguous behavior, upon which there is little agreement as to degree of job effectiveness, is identified,
4. potential equal employment opportunity problems are defused, and,
5. a wealth of training information results from the identification of effective behaviors.

Supervisors Broaden Awareness

Supervisors who participate in the development process learn much about their expectations of the tasks they expect their employees to perform. It forces supervisors to think about what the job really entails. This leads to improved communication between supervisor and

⁴³Richard W. Beatty, Craig E. Schneir², and James R. Beatty, "An Empirical Investigation of Perceptions of Ratee Behavior Change Using Behavioral Expectation Scales (BES)," Personnel Psychology, 30, No. 4 (Winter, 1977), p. 656.

subordinate.⁴⁴ In particular, it forces supervisors to consider carefully what goes into achieving effective performance. The defining of effective performance and evaluating subordinates accordingly is an integral but frequently neglected part of management.⁴⁵ And parenthetically, in the military, it is an integral but frequently neglected component of leadership.

Measure Effectiveness of Internal Communications

In a number of cases the BARS development procedures involved the use of both managers and production workers. In cases where managers agreed a particular behavior was effective, but production workers did not, the difference of opinion was considered to stem from one of two problems. Either the managers had failed to communicate to the production workers that the behavior was effective, or, the production workers had failed to enlighten the managers why the behavior should not be considered as effective behavior.⁴⁶ Either case identifies a problem in

⁴⁴Robert E. Pitts and Ken Thompson, "The Supervisor's Survival Guide: Using Job Behavior to Measure Employee Performance," Supervisory Management, 24, No. 1 (January, 1979), p. 28.

⁴⁵John P. Campbell, and others, "The Development and Evaluation of Behaviorally Based Rating Scales," Journal of Applied Psychology, 57, No. 1 (February, 1973), p. 22.

⁴⁶Milton R. Blood, "Spin-offs from Behavioral Expectation Scale Procedures," Journal of Applied Psychology, 59, No. 4 (August, 1974), p. 514.

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USE OF BEHAVIORALLY ANCHORED RATING SCALES (BARS) TO COMPLEMENT--ETC(U)
JUN 80 J W MURPHY

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internal communications effectiveness which management can now take steps to correct.

Ambiguous Behavior Identified

The scaling step in the development process identifies behaviors upon which there is both agreement and disagreement relative to effectiveness. The behaviors which survive the analysis of variance are retained. The discarded behaviors are also of value because management is able to decide what its policy should be toward such behaviors. If a frequently occurring behavior is discarded, management should decide whether such behavior should be encouraged or discouraged.⁴⁷ Similarly, an item with infrequent occurrence and large variance, particularly if its mean scale value would suggest it to be basically an effective behavior, can be examined to refine the organizational policy toward that behavior.⁴⁸

Equal Employment Opportunity Considerations

The BARS instrument reduces the probability that the evaluation, properly executed, will be interpreted as discriminatory. This is because BARS provide objective, reasonably verifiable data on behavior where traditional

⁴⁷Ibid.

⁴⁸Lawrence Fogli, Charles L. Hulin, and Milton R. Blood, "Development of First-Level Behavioral Job Criteria," Journal of Applied Psychology, 55, No., 1 (February, 1971), p. 8.

trait related forms provide judgments on the person.⁴⁹ Rater errors in the form of leniency, halo, and imprecision are leading to an increasing number of suits by disputatious white collar employees alleging faulty performance evaluations.⁵⁰

Training Information

Once the final BARS has been developed and the effective behaviors identified, the organization's trainers now have a superlative set of objectives around which to base training programs. In addition the trainers are also able to single out those tasks to be identified to the trainees as ineffective behaviors.⁵¹ Thus the performance coaching/counseling benefit of BARS is reinforced by the ability of the organization to train to the behaviors expected on the job. The training, clearly, will include training on those behaviors which have been identified as highly effective in improving individual performance.

Summary

The five collective viewpoints on BARS lead one to conclude that there are considerably more advantages to

⁴⁹Pitts and Thompson, op. cit., pp. 28-29.

⁵⁰Timothy J. Keaveny and Anthony F. McGann, "A comparison of Behavioral Expectation Scales and Graphic Rating Scales," Journal of Applied Psychology, 60, No. 6 (1975), p. 702.

⁵¹Blood, loc. cit.

BARS than disadvantages. First, researchers have determined that BARS, (1) identify major job components, (2) present job content and behavior in clear, unambiguous language, (3) pin-point employee behavior, (4) reduce the incidence of disagreement over job behavior between rater and ratee, and (5) facilitate improved performance.

Second, a selective review of articles by behavioral theorists suggests that BARS (1) are ideally suited for use as coaching/counseling instruments, (2) are particularly useful in the setting of work standards and the providing of specific, descriptive feedback, and (3), when combined with MBO programs, are a component of a total system for assessing behavior, performance, effectiveness, and results.

On the other hand, the third viewpoint, concerning expectations that BARS would possess psychometric characteristics superior to other performance appraisal formats, was not completely substantiated. It was pointed out that the psychometric properties of a particular set of BARS is determined largely by the design of the research process, the skill of the researchers, and the exactitude of their efforts. In the opinion of the author, psychometric properties of a particular set of BARS are, at worst, a neutral consideration.

The fourth set of viewpoints addressed disadvantages to BARS perceived by a number of researchers. Five such

disadvantages were discussed: (1) high cost of development, (2) problems generated by discarding behaviors during the development process, (3) behavior being too complex to measure with a simple set of scales, (4) dislike of the format, and (5) the necessity for training.

Fifth, and finally, it was pointed out that substantial advantages accrue in "spin-off" benefits. Among them are (1) broadened awareness of the job by supervisors, (2) measurement of effectiveness of internal communications, (3) identification of ambiguous behavior, (4) defusing of potential equal employment opportunity problems, and (5) identification of training information.

Clearly collective viewpoints one, two, and five are highly advantageous. Viewpoint three, psychometrics, is basically neutral. Only viewpoint four is a collection of disadvantages. Of those disadvantages listed, the complexity of behavior is potentially the most serious and must be considered very thoroughly. The other disadvantages appear to be easily corrected, or are relatively minor. Based upon the information in this chapter alone it is difficult to restrain an enthusiasm for BARS.

On balance, BARS appear to have more advantages than disadvantages, more potential benefits than costs. Notwithstanding, it is as important that persons contemplating the use of BARS be as thoroughly conversant with the adverse aspects as the positive. No attempt has been made

to discount or discredit the disadvantages noted by researchers, although such disadvantages appear to be able to be dampened considerably. The point is that the dampening cannot be designed into the system if the criticisms are ignored or wished away.

The following chapter draws, in part, on the descriptive content of Chapter 3 and the evaluative material in Chapter 4 to determine if BARS meet the behavioral criteria implicit in the Porter, Lawler, Hackman ideal performance appraisal system model. It integrates this analysis with an analysis of the features of the Performance Evaluation System as it is presently designed. This leads to the summary and, finally, to the conclusion which are presented in Chapter 6.

Chapter 5

SYNTHESIS

The task is to determine if the present Marine Corps "Performance Evaluation System," reinforced with behaviorally anchored rating scales (BARS) would achieve the characteristics of the ideal performance appraisal system developed by Porter, Lawler, and Hackman and outlined in Chapter 2. Each characteristic identified by Porter, Lawler, and Hackman is essentially a criterion. The Marine Corps may need two separate instruments to satisfy all the criteria: a Fitness Report for institutional purposes, and an appropriate BARS for individual development purposes. The Fitness Report, while it is an excellent tool for identifying officers for promotion and assignment, is not well-suited as a performance coaching/counseling instrument. This conclusion is congruent with current theory on performance appraisal.¹ Fred Luthans, in presenting Porter, Lawler, and Hackman's seven characteristics of an ideal performance appraisal system, added this caveat:

. . . realistically there is no appraisal technique to date that can embody all these characteristics. The two techniques of appraisal that come

¹Lyman W. Porter, Edward E. Lawler, III, and J. Richard Hackman, Behavior in Organizations (New York: McGraw-Hill, 1975), pp. 316-324.

closest are management by objectives (MBO) and behaviorally anchored rating scales (BARS). These two techniques represent a significant point of departure from the traditional trait approaches and offer a great deal of potential for the future.²

To review, the seven characteristics identified by Porter, Lawler, and Hackman are:

1. Measures are used that are inclusive of all the behaviors and results that should be performed.
2. The measures are tied to behavior and as far as possible are objective in nature.
3. Moderately difficult goals and standards for future performance are set.
4. Measures are used that can be influenced by an individual's behavior.
5. Appraisals are done on a time cycle that approximates the time it takes the measures to reflect the behavior of the persons being evaluated.
6. The persons being evaluated have an opportunity to participate in the appraisal process.
7. The appraisal system interacts effectively with the reward system.³

An examination of these criteria shows that the Performance Evaluation System presently meets the third, fifth, sixth, and seventh characteristics and the "results" aspect of the first characteristic. And BARS essentially satisfy the "behaviors" requirement of the first characteristic and all of the second and fourth characteristics as well.

²Fred Luthans, Organizational Behavior (2d ed.; New York: McGraw-Hill, 1977), p. 485.

³Porter, Lawler, and Hackman, op. cit., p. 339.

First Characteristic

"Measures are used that are inclusive of all the behaviors and results that should be performed."⁴ The BARS development procedure, particularly the generation of incidents and the clustering into job dimensions, ensures an instrument that encompasses the range of all on-the-job behaviors. Obviously a BARS is not inclusive of all behaviors. Some of the behaviors generated by supervisors, because of lack of agreement, are dropped to enhance dimension independence. Others, which exceed the variance criterion in the scaling step, are dropped to increase scale reliability. This leaves an ordinal scale of seven or more behaviors with which to frame all observable behaviors in that job dimension. Essentially, then, BARS satisfy the ". . . inclusive of all the behaviors . . ." ⁵ criterion of the first characteristic.

The Performance Evaluation System adequately addresses the requirement that measures be used that are inclusive of all results to be performed. Section III of the Performance Evaluation System order directs the establishment of ". . . targets which, when accomplished, will

⁴Ibid.

⁵Ibid.

serve to maintain the Marine's high level of performance."⁶ Referring to Marines whose performance is below the organizational standard, the order requires:

This part of the counseling process serves to map for the Marine the road to improved (or consistent) performance. Clearly attainable targets must be defined. These should first be in areas of performance where the Marine is below the Marine Corps or organizational standard. They should be expressed in such a way as to be objective and easily measured. They cannot be too broad or include more than one step (at a time), or else the Marine will have difficulty in achieving them or even understanding how to achieve them.⁷

The order provides several examples of clear and weak targets. The clear targets, expressed in classic MBO style, state the action to be taken, the identifiable target results, and the time limit. Two examples are: (1) "Get a regulation haircut at least once every ten days," and (2) "Prepare a master list of all 3d quarter training requirements by 10 December."⁸ The order requires the establishment of a coaching plan during which two-way communications are encouraged. The purpose of the coaching plan is to facilitate the establishment of performance targets and frequent person-to-person tracking of the Marine's progress. In short, paragraph 3006 of the

⁶U.S. Marine Corps Order Pl610.7B. Performance Evaluation System. 23 February 1977, p. 3-15.

⁷U.S. Marine Corps Order Pl610.7B. op. cit., p. 3-14.

⁸U.S. Marine Corps Order Pl610.7B. op. cit., pp. 3-14 and 3-15.

order prescribes a modified but effective management by objectives methodology for performance coaching/counseling. The focus is entirely on results.⁹ As mentioned earlier, the administrative aspects of drafting, monitoring, and recording an individual's performance targets is entirely informal and separate from the preparation of the individual's Fitness Report.

Second Characteristic

"The measures are tied to behavior and as far as possible are objective in nature."¹⁰ BARS satisfy this criterion. The participation of supervisors knowledgeable in the job, coupled with prudence and judgment of the BARS developer, permit a presumption of objectivity during the development process. Objectivity during the actual appraisal process is enhanced because of the observable, verifiable nature of on-the-job behavior. The very nature of BARS insures the measures are linked to behavior, particularly when BARS and MBO are being used concurrently for individual development. Because the BARS instrument is used for counseling, it is expected that it would remain on file at the individual's local command. The Fitness Report, however, would be forwarded to Headquarters,

⁹Nowhere in the seventy-six page Performance Evaluation System document does the word "behavior" appear. Nor is the concept of "behavior" as related to "performance" and "effectiveness" evident in the document.

¹⁰Porter, Lawler, and Hackman, loc. cit.

U.S. Marine Corps. If the Fitness Report is completed at the end of the performance coaching/counseling cycle, it is reasonable to expect the individual's behavioral target results, established using a BARS, and performance target results, established using the MBO procedure, will be reflected on his Fitness Report. Thus the individual receives the benefit of counseling, and the Marine Corps receives the information necessary for organizational decisions.

Third Characteristic

"Moderately difficult goals and standards for future performance are set."¹¹ The Performance Evaluation System supports the attainment of this criterion. As a practical matter, the setting of moderately difficult goals and standards is more a function of the skill of the reporting senior than the refinement of the system. With proper training, however, less would be left to chance in the important matter. Given the complexity and pace of present day military service, moderately difficult goals and objectives are inherent in keeping abreast of an organization's day-to-day requirements and commitments.

¹¹Ibid.

Fourth Characteristic

"Measures are used that can be influenced by an individual's behavior."¹² BARS clearly satisfy this criterion, particularly because of the influence of behavior as a determinant of performance and effectiveness. All the incidents on a BARS are, by definition, influenced by behavior. Performance is essentially, behavior that has been evaluated. BARS are arranged in order of most effective to least effective behavior in terms of contributing to the accomplishment of an organization's goals. Higher level behavior, therefore, leads to higher effectiveness which results in better performance. The higher level behavior is directly related to the attainment of moderately difficult goals and objectives (in the MBO sense).

Fifth Characteristic

"Appraisals are done on a time cycle that approximates the time it takes measures to reflect the behavior of the persons being evaluated."¹³ The Performance Evaluation System satisfies this criterion. At a minimum, Fitness Reports are completed on all sergeants and above at least semiannually and general officers at least once a

¹²Ibid.

¹³Ibid.

year. Fitness reports may be submitted at shorter intervals depending upon a variety of circumstances; e.g. transfer of the Marine, change of reporting senior, etc.¹⁴ Although ". . . time span of discretion . . ." ¹⁵ suggests that a set six month interval for Marines in the rank sergeant through colonel might be too rigid, six months appears to be sufficient time to achieve moderately difficult, judiciously assigned goals.¹⁶

Sixth Characteristic

"The persons being evaluated have an opportunity to participate in the appraisal process."¹⁷ This criterion is addressed by the Performance Evaluation System. The provisions of paragraph 3006 of the order direct the participation of the rated Marine with his reporting senior, throughout the appraisal process.¹⁸ The fact that the letter and spirit of the directive is not followed can be cured by instituting positive controls in the coaching/counseling process.

¹⁴U.S. Marine Corps Order P1610.7B. Performance Evaluation System, 23 February 1977, pp. 1-6, 1-7, and 1-8.

¹⁵Porter, Lawler, and Hackman, op. cit., p. 334.

¹⁶Ibid.

¹⁷Ibid.

¹⁸U.S. Marine Corps Order P1610.7B. Performance Evaluation System, 23 February 1977, pp. 3-13 through 3-15.

Seventh Characteristic

"The appraisal system interacts effectively with the reward system.¹⁹ The Performance Evaluation System satisfies this criterion. Promotion and assignment are directly, and almost entirely, dependent upon the Fitness Report, an integral part of the Performance Evaluation System. At the same time, promotion and assignment are clearly part of the reward system. Assignment to widely desired duty stations, to sensitive and prestigious billets, and to professional military schools is influenced to a significant degree by Fitness Reports. On the other hand, longevity pay increases which are automatic, and merit pay increases which are non-existent in the military are not considered rewards. Military decorations and certificates are also rewards but are not connected with the Performance Evaluation System. On balance, given the importance Marines attach to promotions and assignments, it is safe to conclude that the Performance Evaluation System interacts effectively with the rewards system.

Summary

The current Marine Corps' Performance Evaluation System is designed to accomplish both institutional and individual development needs. The system identifies two

¹⁹Porter, Lawler, and Hackman, op. cit., p. 334.

ways with which to accomplish these ends: use of the Fitness Report, and guidance for performance coaching/counseling using a modified MBO methodology.

The Fitness Report, a formal document with a highly articulated set of procedures and controls, supports the institutional objectives: promotion and assignment. The coaching/counseling methodology, relying on the presumed insight, initiative and competence of the rating officer, supports the individual development needs. Not supported by a formal document and positive controls, the coaching/counseling methodology is performed in an informal, unstructured, highly personalized and unsupervised manner. But there is a problem with the system: the individual development needs are not being accomplished.

On a parallel track, the aggregation of recent research suggests that an ideal performance appraisal system has seven identifiable characteristics. The Marine Corps' current Performance Evaluation System reflects four of the characteristics and part of a fifth. Improvements to the Performance Evaluation System should be accomplished with the goal of embodying the remaining characteristics. The characteristics not presently part of the Performance Evaluation System pertain to the on-the-job behavior. Not coincidentally, the shortcomings of the coaching/counseling methodology stem from the Marine Corps' not having

defined, with precision, effective and ineffective on-the-job behavior. Clearly, improvements to the Performance Evaluation System must focus on job-effective behavior.

Finally, behaviorally anchored rating scales (BARS) have been examined in considerable detail. BARS are a clear departure from traditional performance appraisal formats. The development process is unique, and does not reflect industrial psychologists' preconceived ideas of how a job should be appraised. The procedure relies on the participation of job-knowledgable supervisors and experienced production workers guided by a research director. Together they identify all major dimensions of a job. This is a capability that the current system does not possess. Within each dimension participants scale all observable job behaviors from "most effective" to "least effective" in terms of contributing to organizational goals. This results in a behavior-oriented instrument which greatly facilitates feedback and reduces resistance to the appraisal process. Because of this, BARS have great potential as an effective instrument for performance coaching/counseling.

Behaviorally anchored rating scales (BARS), therefore, address the remaining characteristics of the ideal performance appraisal system. Thus the Performance Evaluation System, supplemented by the BARS concept, would embody all seven characteristics of the ideal performance appraisal system. And BARS would redress many of the

short-comings of the present Performance Evaluation System's coaching/counseling methodology.

The following chapter presents the conclusion and recommendations.

Chapter 6

CONCLUSIONS AND RECOMMENDATIONS

The thesis of this study is to show that: The Marine Corps Performance Evaluation System should have a supplementary performance appraisal instrument, supported by appropriate administrative controls to achieve its performance coaching/counseling objectives. The foregoing analysis leads to the conclusion that behaviorally anchored rating scales (BARS) should be adopted as the supplementary performance coaching/counseling instrument for the Marine Corps Performance Evaluation System.

Conclusions

The objectives of the Marine Corps Performance Evaluation System are to improve performance, to identify to individuals areas which need improvement, to support the assignment process, and to assist the promotion system. The Performance Evaluation System attempts to satisfy its objectives by means of the Fitness Report and through guidance to reporting seniors on individual performance coaching/counseling using a modified MBO technique.

The objectives of the Performance Evaluation System are not being met because the performance coaching/counseling system is ineffective. This ineffectiveness is

traceable to two underlying causes: (1) the lack of a theoretically sound performance coaching/counseling instrument, and (2) the absence of positive administrative controls over the performance coaching/counseling process. There are two remedies to the problem.

The first is the development and use of behaviorally anchored rating scales (BARS) as a performance coaching/counseling instrument. BARS uniquely focus on behavior and facilitate the reporting senior's ability to provide specific, descriptive feedback to the subordinate. BARS have also been demonstrated to be superior to other performance appraisal formats in leading to improved performance. BARS, coupled with MBO, enable a reporting senior to more accurately assess behavior, performance, effectiveness, and results.

The second remedy is the development of positive administrative controls over the performance coaching/counseling process. This will ensure that the coaching/counseling component of the Performance Evaluation System is being followed to the same letter and spirit as the Fitness Report.

Therefore, the Marine Corps should adopt behaviorally anchored rating scales as a supplementary performance appraisal instrument and develop appropriate administrative controls over the performance coaching/counseling process to ensure that the objectives of the Performance Evaluation System are achieved.

Realistic Expectations

BARS appear to have great potential in the Marine Corps. BARS are a people-oriented concept and the Marine Corps is a people-oriented service. It is easy to develop an unrestrained enthusiasm for behaviorally anchored rating scales. BARS are not, however, the panacea for all performance appraised problems or work-motivation problems. The contrary viewpoints noted in Chapter 4 suggest that any effort to develop BARS should be undertaken with prudence, circumspection, and healthy distrust of any initially favorable results. From the dissenting opinions it is reasonably obvious that a number of skilled academicians met with frustration in testing their hypotheses. In pursuing the BARS concept it is probable that the Marine Corps' initial efforts will result in more disappointments than unqualified successes. The Marine Corps may require help from experienced, competent scholar/consultants.

Application

Not all Marines need BARS. Many Marines perform at a level of effectiveness which clearly obviates the necessity for behavior-related counseling. These Marines, given their MBO-related objectives simply need to be left alone and they will continue to perform at a very high level. Other Marines, however, perform at an average or

below average level of effectiveness and might profit from counseling with BARS. The question is: how many Marines will improve as a result of counseling with BARS. There is no clear-cut answer. At this point, one can only guess. An estimate is that three out of every ten would profit from counseling with BARS. Four or five of every ten will not need much behaviorally based counseling because of continued exemplary performance. Of the remaining five or six, some, approximately three, will respond to behaviorally based counseling like recruits respond to drill instructors--very positively. The remaining two or three will not respond to anything. BARS, after all, are not a panacea. The question is whether or not measurable improvement by three of every ten Marines is cost effective.

Cost

BARS development is undeniably costly. The initial cost to the Marine Corps would be in terms of time spent by participants, and, of course, consultants' fees. The next cost would involve preparation and distribution of the directives and supporting materials which guide and comprise the system. Training Marines in the theory and use of the system would result in the third set of costs. The training effort would be prodigious.

Benefit

The benefits, however, have the potential to far outstrip the costs. Even if only three of every ten

Marines (a net gain of three, that is) made significant improvement, the result would be handsome indeed. The idea eludes quantification but not the capacity to fire the imagination of commanders who want to wring out of their unit one last increment of enthusiasm and proficiency.

The greatest benefit is in the aggregation of self-esteem that these three of every ten would derive from their improvement. That infusion of sense of well-being will pay immense dividends in esprit and love of Corps.

Recommendations

The analysis leads to three recommendations. The Marine Corps should (1) develop and test BARS, (2) provide a support form in a format which enhances the goal setting nature of the MBO process, and (3) specify positive administrative controls, related to the support form, which ensure that performance coaching/counseling is accomplished.

Develop BARS

The Marine Corps should test the BARS concept. A set(s) of BARS should be developed on a trial basis. Preliminary instructions for integrating the BARS into the Performance Evaluation System should also be developed. The system should be tested over a one year period in an

infantry battalion. The test should be designed to study a number of facets of organizational effectiveness:

- individual improvement over time,
- change in attitudes and practices relative to coaching/counseling (by reporting senior and subordinate),
- change (if measurable) in unit performance and esprit.

The BARS development process is time consuming and costly. For that reason the question of which jobs should be identified for BARS development is important. Originally it was the author's intention to recommend BARS development for "NCO Leadership and Management Responsibilities." At present, that thought seems too general, on one hand, and too limited on the other. Too general in the sense that "NCO" encompasses Marines in the ranks of corporal through sergeant major. There is no question that the sergeant major's duties are a world away from the corporal's. And too limited in the sense that it did not include company grade officers whose development is just as critical as NCO's.

At present, although the initial task will be considerably more complicated and time consuming than was originally intended. It is recommended that the BARS development process concentrate, initially, on the Marine infantry battalion. Specifically the development process should be aimed at developing BARS for company grade

officers and noncommissioned officers serving in line and staff assignments. Thus eight sets of BARS would be developed and tested concurrently. Table 2, "Ranks and Functions to be BARS Developed," outlines the author's proposal for the initial development of eight different sets of BARS.

Table 2.

Rank and Functions to be BARS Developed

Rank	Function	
	Line ^b	Staff ^c
Corporal/Sergeant ^a	BARS	BARS
Staff Sergeant/Gunnery Sergeant ^a	BARS	BARS
Lieutenant	BARS	BARS
Captain	BARS	BARS

^aBARS for Corporals and Sergeants, as well as Staff Sergeants and Gunnery Sergeants are paired to ease the development task and because of their roughly related levels of experience.

^bA set of BARS which captures the range of troop leading behaviors pertinent to Marines of these ranks.

^cA set of BARS appropriate to staff functions of Marines of these ranks. The BARS should not be functionally specific; i.e., training schedules in the operations section, transportation requests in the logistics section. Rather, BARS should capture behaviors common to performance in all staff area.

The array of BARS in Figure 2 has a number of synergistic advantages. When used throughout a battalion this family of BARS will facilitate much wider participation in the coaching/counseling process and a greater and more

rapid accumulation of insight. The fact that all Marines in the rank of corporal to gunnery sergeant and second lieutenant to captain are participating should be positive. The lieutenant, for example, will not only be coached/counseled by the captain but he will, in turn, coach/counsel his platoon sergeant and squad leaders and supervise the coaching/counseling of the team leaders.

The development process can be facilitated by use of Marine Corps Order P1510.23B, Instructional Systems Development, referred to in Chapter 2. Marines working on the project should obtain job analyses completed in accordance with the order from Marine Corps schools whose course of instruction contains material related to the subject of the initial BARS. Such a step would be of benefit during the incident generation and clustering and scaling steps of the development process.

Finally, it is recommended that the BARS development process be conducted over a one year period at the Education Center, Marine Corps Development and Education Command, Quantico, Virginia. It is suggested, as outlined in Table 3, "BARS Development Tasking," that particular schools within the Education Center at Quantico be assigned the development tasks, and that participants be drawn from the respective student bodies. This tasking will enhance control, ensure participation by Marines who are somewhat less harried than their Fleet Marine Force contemporaries, and initiate the BARS concept in the

Marine Corps' educational system thus facilitating the teaching of the concept to succeeding classes.

Table 3.

Recommended BARS Development Tasking

Task Assigned To:	TASK: Develop Line and Staff BARS for:				
	Corporal/ Sergeant	Staff Sergeant/ Gunnery Sergeant	Lieu- tenant	Captain	
Command & Staff College	S	S	P	A,P	
Amphibious Warfare School	P	A,P	A,P	P	
Staff Non-commissioned Officer Academy	A,P	P	S	S	

A = Recommended that the indicated school be responsible for the above sets of BARS. The school would have the responsibility for coordinating the participation of Marines from the other two schools.

P = Primary participants drawn from indicated student body.

S = Secondary participants, intended as a quality control factor to ensure critical behaviors and trends are not overlooked.

Provide a Support Form

A standard form is needed to facilitate the goal setting process. The form should be designed for use by the rated Marine, the reporting senior, and the reviewing officer. The form should be retained by the rated Marine

except where it is being used, in an iterative manner, by the reporting senior or reviewed by the reviewing officer.

The rated Marine and the reporting senior will use the form to analyze the duties of the rated Marine, to record objectives agreed to by the Marine and the reporting senior, and to evaluate progress toward the specified objectives.

Specify Positive Controls

Positive administrative controls should be instituted to ensure performance coaching/counseling is accomplished. The support form facilitates positive control. The support form should accompany the rated Marine's Fitness Report where the report is forwarded to the reviewing officer for action. The reviewing officer is then able to audit the rated Marine's progress and gain additional insight into the reporting senior's abilities. Most important, the fact that the reviewing officer is going to review the support form provides the positive nudge to the reporting senior to accomplish performance coaching/counseling in the spirit and to the letter of the Performance Evaluation System.

Upon completion of the review, the support form should be returned to the rated Marine. The support form should be available for inspection by authority higher than the reviewing officer; e.g., the Inspector General.

Summary

These three recommendations, BARS, appropriate support forms, and positive controls integrated into the present Performance Evaluation System, provide the Marine Corps with a near perfect, state-of-the-art performance appraisal system. Additionally, by considering where possible the job analyses completed in accordance with the Instruction Systems Development order, the Marine Corps will have a performance coaching/counseling instrument coordinated with its system of formal schools training. The whole should prove to be greater than the sum of its parts. Reporting seniors will be able to measure behavior, performance, effectiveness, and results. They will be able to provide specific, descriptive feedback to subordinates. This will result in a quantum improvement in individual and organizational esprit, proficiency, and self-confidence.

APPENDIX A

Performance Evaluation System Extracts

The following pages were taken from Marine Corps Order P1610.7B, Performance Evaluation System. All references to the Performance Evaluation System found in the body of the study are contained in Appendix A.



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
WASHINGTON, D. C. 20380

MCO P1610.7B
NMAD-2-JCS-G1
23 Feb 1977

MARINE CORPS ORDER P1610.7B

From: Commandant of the Marine Corps
To: Distribution List

Subj: Performance Evaluation System

Ref: (a) Navy Reg., art. 1701
(b) MARCORMAN, par. 1610.3
(c) MCO P5600.31D

Encl: (1) LOCATOR SHEET

1. Purpose. To revise guidance for the administration and operation of the performance evaluation system for Marine Corps officers and noncommissioned officers and for Navy personnel assigned to Marine Corps commands pursuant to references (a) and (b).

2. Cancellation. MCO 1610.7A, effective 14 May 1977.

3. Effective Date. 15 May 1977.

4. Information

a. The performance evaluation system as described in this Manual provides a technique for the evaluation of the performance of duties, and potential, of all Marine officers and noncommissioned officers in the grade of sergeant and above. The performance evaluation cycle consists of: the Marine who is evaluated; a reporting senior who observes the Marine's performance, evaluates and reports it on a fitness report, and counsels the Marine; a reviewing officer who reviews each report for completeness, accuracy, and consistency; and Headquarters, U.S. Marine Corps, where reports are screened, filed, and their receipt is acknowledged.

b. The primary uses of fitness reports are twofold: to aid in personnel assignment, and to assist selection boards in determining those eligible Marines who are best qualified for selection for promotion or a competitive assignment. Since fitness reports are evaluations of duties performed and the manner in which they are performed, and represent a comprehensive portrayal of the professional character and potential of each Marine reported on, they are uniquely suited for this dual usage.

c. Since the fitness report is so important to each Marine, its proper preparation and submission is vital.

5. Summary of Revision

a. The largest and most visible change contained in this revision is a drastic reformatting of the directive. With a view toward clarity and simplicity, the order has been reorganized into a manual to coincide with the natural flow of a fitness report through the performance evaluation cycle.

b. In order to reduce clerical errors based on misunderstandings or incorrect interpretations of administrative instructions, this revision is designed with training in mind. An abundance of tables and figures have replaced

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23 Feb 1977

formerly narrative guidance, to facilitate the establishment of objectives and standard clerical procedures.

c. Due to the importance of counseling as an integral part of leadership, that portion of this Manual dealing with counseling has been amplified and made more specific.


d. Detailed instructions for the preparation and submission of fitness reports on members of the Marine Corps Reserve not on active duty have been incorporated into a single section of this Manual. References to other sections of this Manual, as appropriate, are included.

6. Action. The instructions contained in this Manual will be used in the preparation of Marine Corps fitness reports for reporting periods ending on or after 15 May 1977.

7. Distribution. This Manual has been assigned Distribution Code A48, and will be distributed in the same quantities as accomplished for the previous edition. Increase or decrease in the Individual Activity Table of Allowances for Publications for standard Distribution Code A48 should be submitted to the Commandant of the Marine Corps (Code HQSP) in accordance with reference (c). A future change to reference (c) will include Distribution Code A48, and subsequent printouts of the Individual Activity Table of Allowances for Publications will also reflect Distribution Code A48.

8. Reserve Applicability. This Manual is applicable to the Marine Corps Reserve.

9. Certification. Reviewed and approved this date.


L. E. BROWN
Chief of Staff

DISTRIBUTION: A48

Copy to: 8145001

PERFORMANCE EVALUATION SYSTEM

SECTION I

INTRODUCTION

1001 GENERAL DESCRIPTION AND INFORMATION

1. General Description. The Marine Corps performance evaluation system provides for the periodic audit, description, and report of the performance and personality characteristics of Marine officers and noncommissioned officers in the grade of sergeant and above. It also requires that all Marines subject to the performance appraisal process be counseled regularly and, as a minimum, at least on the occasion of each evaluation. It includes both Regular and Reserve Marines, and all performance evaluation reports (called "fitness reports") are made a permanent and important part of each Marine's records. As the principal record of a Marine's performance and conduct, fitness reports are vital in determining duty assignments and in selection for promotion.

2. Objectives of the Performance Evaluation System. There are four specific objectives of the system:

a. The first and focal objective is the improvement of performance. The completion of a fitness report is only a step toward that goal. This central objective can only be achieved by coupling the fitness report (i.e., a report of past performance) with counseling and coaching to determine where, and how, performance should be improved (i.e., a plan for future performance).

b. The second objective is the identification of those Marines who are considered qualified for advancement by virtue of their leadership potential and continuous successful performance of duty.

c. Another objective is the provision of assistance to individual Marines in identifying those performance and character attributes which require improvement before they can be considered qualified for advancement.

d. Finally, the system must support the "career pattern" approach to personnel management by providing the personnel assignment process with information relating to both a Marine's desired duty assignment, and the Marine's suitability for certain future duty assignments.

3. The Performance Evaluation Cycle. The process of performance evaluation is a continuous one and is exercised daily by all Marines in leadership assignments. The submission of fitness reports on appropriate occasions is merely one aspect of performance evaluation, although it is the most visible and formal one. The process of performance evaluation by fitness reports is characterized as a cycle which begins and ends at the same point, namely, an individual Marine's performance of duty. The performance evaluation cycle, consisting of four elements, is illustrated in Figure 1-1.

1002 RESPONSIBILITIES

1. Marine Being Evaluated

a. Periodically review table 1-1 to determine fitness reporting occasions.

b. Provide information for section A of the fitness report form (NAVMC 10835) for each reporting occasion, as required. Follow the instructions contained in chapter 2 of this Manual to ensure proper completion of section A. If more than one type of fitness report is due at the same time, submit only one report and use the type which appears first in table 1-1, e.g., if a Marine was transferred on the same day a semiannual fitness report was due, a type "TR" report would be prepared (because TR (transfer) appears second in table 1-1, while SA (semiannual) is last).

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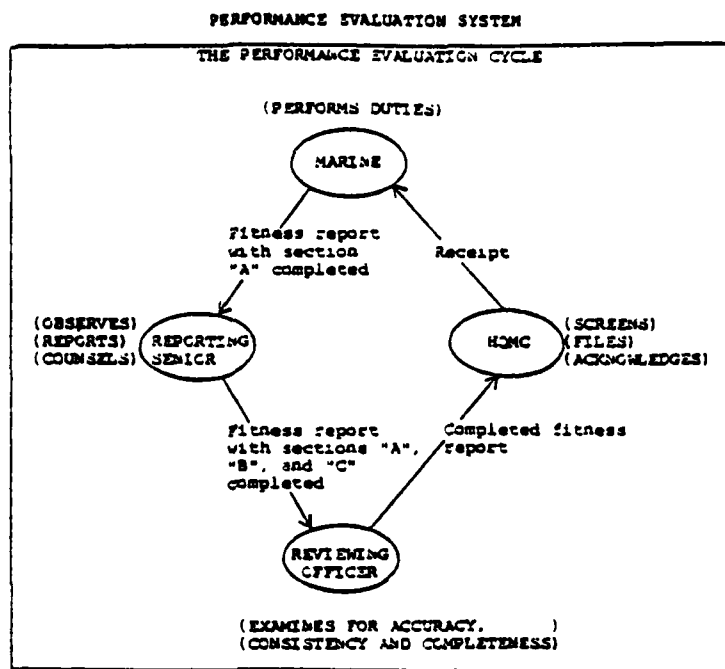


Figure 1-1.—Elements of the Performance Evaluation Cycle.

c. After reviewing the information in section A of the fitness report, certify that it has been completed accurately by signing and dating block 22.

d. Deliver, or forward, the fitness report to the reporting senior. Every reasonable effort should be made to ensure that the report reaches the reporting senior no later than the last day covered by the reporting period.

2. Reporting Senior. On receipt of a fitness report from a Marine whose performance of duty is to be reported, the reporting officer is responsible for the following actions:

a. Review the Marine's performance of duty and personality characteristics as they have been observed during the period covered by the fitness report. Do not include performance of duty already covered by a previous fitness report.

b. Referring to the guidelines and definitions contained in chapter 1, complete section B of the report according to the results of paragraph a. above.

c. Complete section C by writing or printing in pen and ink, or by typing. Refer to the results of paragraph a. above, and chapter 1 of this Manual.

d. Counsel the Marine as outlined in paragraph 1006 and ensure that a specific coaching plan is established.

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e. Date and sign block 23 of the fitness report; be sure to indicate in block 23 whether the Marine was or was not counseled.

f. Deliver, or forward, the fitness report to reach the reviewing officer no later than 15 days after the end of the period covered by the report.

3. Reviewing Officer. On receipt of a fitness report from a reporting senior, the reviewing officer is responsible for the following actions:

a. Review each fitness report for completeness and accuracy within the limits of observation by the reviewing officer.

b. Review each fitness report relative to performance standards applied by reporting seniors. The reviewing officer is the first member of the performance evaluation cycle who can detect fitness reports which are based on seemingly arbitrary, too strict, or overly lenient standards. Reviewing officers should apply positive efforts to assure that all reports are based on realistic and consistent standards, are accurate, and are forwarded on time.

c. Return to reporting seniors for reconsideration those reports which fail either of the two reviews, above. Chapter 4 of this Manual may be used as a guide.

d. Provide guidance to reporting seniors relating to completeness and consistency in reporting.

e. Every reasonable effort should be made to ensure that completed fitness reports are reviewed and forwarded to the Commandant of the Marine Corps (MMAO-2) no later than 30 days after the end of the period covered by the report.

f. The Privacy Act of 1974 requires that individuals be provided sufficient guidance to ensure that they can make an informed decision on whether to provide information which will or may be incorporated into a system of records. Since the Automated Fitness Report System is a system of records (listed in the Federal Register of 18 August 1975 as MMW00011) each Marine should be provided such guidance prior to completing section A of the fitness report. The required advisement for the fitness report is contained in a blanket statement (MAVMC 11000) which is published in a Marine Corps bulletin in the 3211 series.

4. Headquarters, U.S. Marine Corps. On receipt of a completed fitness report at Headquarters Marine Corps, the following actions will be taken:

a. Conduct an administrative review of each report for completeness and compliance with the provisions of this Manual.

b. Return all reports which require correction or completion.

c. Enter all acceptable reports into the Automated Fitness Report System (AFRS); file the original report, and all associated pages, in the Marine's official personnel record.

d. Mail to each individual for whom a fitness report is processed, an AFRS-generated receipt.

e. Ensure that access to individual fitness report information on a specific Marine is limited to selection boards and persons engaged in personnel assignment and personnel management functions.

f. Conduct periodic audits to maintain accuracy and efficiency of AFRS files.

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SECTION III

DUTIES OF THE REPORTING SENIOR

1001 GENERAL

1. Although all persons involved in the performance evaluation process are vital for accomplishment of the objectives stated in paragraph 1001.2, the reporting senior's contribution is clearly the central one. Since fitness reports influence a Marine's future duty assignments and promotions, reporting seniors must exercise the utmost thoroughness, maturity, and objectivity in completing them. Each report must be an accurate and comprehensive, yet brief, portrayal of the Marine reported on.

2. This section provides detailed guidance for reporting seniors in the execution of those tasks necessary to meet the responsibilities outlined in paragraph 1002.2. The reporting senior's tasks are generally performed in six phases: (1) check section A of the fitness report for accuracy and completeness, (2) review the Marine's performance of duty during the reporting period, (3) complete section B of the fitness report in blue, black, or blue-black ink in fountain pen, felt tip or ball point pen, (4) complete section C of the fitness report briefly by handwriting or printing in either blue, black, or blue-black ink in fountain or ball point pen or by typing, (5) counsel the Marine and establish a coaching plan, and (6) forward the completed report to the reviewing officer. Each remaining paragraph (1002 through 1007) of this section discusses one of these phases.

3. Limitations on Reporting Seniors. There are two occasions which prevent a normal reporting senior from completing fitness reports:

a. Reporting seniors may not submit fitness reports on officers senior to themselves. Reports on officers of the same grade are not desirable but may be submitted if specifically justified and approved by the reviewing officer. Such approval must be noted in an attached comment by the reviewing officer.

b. An officer whose relief is occasioned by alleged misconduct or unsatisfactory performance of duty may not submit fitness reports; the reporting senior in such cases will be the officer next senior in the chain of command.

4. Delegation of Reporting Authority. General officers, heads of departments, divisions and separate offices of Headquarters Marine Corps, district directors, and commanders down to and including the battalion and squadron level are authorized to delegate the authority to submit fitness reports to officers in principal subordinate staff and command billets within their organizations when the number of officers to be reported on, or the lack of opportunity to observe performance of duty, warrants such delegation of authority. If this delegation is to be conferred upon a Navy officer to submit fitness reports on other Navy officers assigned to a Marine Corps unit, approval will first be requested from the Chief of Naval Personnel in accordance with the current SUPERINSTR 1611.12. To the degree practicable for accurate reporting, such requests for delegation will be consistent with the intent expressed in subparagraph 3a, above, with respect to the grade level desired of reporting seniors.

1002 REVIEW OF SECTION A

1. Before completing the remainder of the form, the reporting senior should first check section A and item 22 for accuracy and compliance with this Manual. If any entry is incorrect or incomplete, the report must be returned to the Marine for correction and resubmission. The reporting senior must not erase, modify, correct, or insert any information in section A or item 22 of the fitness report form.

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2. Unless a reporting senior desires to perform a more thorough review of section A, the following checklist (figure 3-1) is considered adequate, and may be used as a guide. A check in the "Does" column for each item should be assured before the remainder of the fitness report is completed.

SECTION A CHECKLIST			
Item	Does	Does Not	Contain
1a			a monitored command code
1b			a reporting unit code
2a			Marine's last name
2b			Marine's correct social security number
3c			either a "C", "J", "S", or "N"
4a			accurate description of Marine's actual duty
6a			correctly state Marine's marksmanship and physical fitness qualifications
6b			three digits (for example, 123)
9b			three digits (for example, 123)
10a			a code in each of the three blocks
11a-d			correct identification of reporting senior
22			Marine's signature and date signed

Figure 3-1. --Sample of a Reporting Senior's Checklist for Section A.

3003 REVIEW OF MARINE'S PERFORMANCE OF DUTY

1. This phase of the reporting senior's action consists of examination of the performance of the Marine during the period covered by the report. As a result of this examination (which may be based on training or operational records/reports, mental recall, personal observations, correspondence related to the Marine's duty performance, etc.) the reporting senior forms an impression of the Marine's performance. If, after repeated and careful review, the reporting senior is still unable to form such an impression in certain cases (for example, a semiannual report which covers 70 days, including 25 days of proceed, delay, and travel, and 20 days of hospitalization), it can be concluded that the Marine's performance of duty has not been observed sufficiently to permit fair and objective evaluation. In these cases, a "not observed" report should be submitted (except that a "not observed" report will never be submitted to cover a period during which the Marine reported on has been wounded in action). In other cases, the reporting senior may determine that a Marine's performance of duty has not changed since the last report was submitted; in those cases mentioned in paragraph 3003.3, this period may be covered by an "extended" report.

2. Not Observed Reports. If a reporting senior feels that a "not observed" report is appropriate, an "X" should be placed in the applicable block of item 12, and the remainder of section 3 should be left blank. A brief explanation of the reporting senior's insufficient observation must be included in section C except as indicated in table 3-1, below.

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TABLE 1-1
 RULES FOR EXCLUDING SECTION C EXPLANATION OF "NOT OBSERVED" REPORT

R U L E	A	B	C	D
	If report is...	and period is...	and report type...	then...
1	first one by the reporting senior on this particular Marine	60 calendar days or less	is not CH, TR, RE, RN, RA, RD, or SA	enter "Insufficient observation" in section C
2	any regular report*	30 calendar days or less	is CH, TR, RE, RN, RA, or RD	
3	first one since change of grade billet*	60 calendar days or less	is not SA	
4	a semiannual*		is SA	comply with paragraph 1001.2a

* A reporting senior may not submit more than one "not observed" report while the Marine is under supervision without a section C explanation.

3. **Extended Reports.** If the Marine being reported on receives a transfer (TR) or change of reporting senior (CH) report within 60 days after submission of a semiannual (SA) report, an "extended" report may be submitted. If the reporting senior's opinion of the Marine's performance has not changed since the submission of the last semiannual report, the previous fitness report may be extended to cover the new period by: (1) checking the appropriate block in item 12, and (2) entering a statement in section C to the effect that this report "is an extension of the previous semiannual report" on the Marine being reported on. Adverse, marginal, or "not observed" reports may not be extended.

4. If the reporting senior is able to review and evaluate the Marine's performance of duty during the period covered by the report, and is not submitting an "extended" report, item 12 will be left blank and all other section 3 items will be completed.

1004 COMPLETION OF SECTION 3

1. Section 3 of the fitness report form (less item 12, discussed above) consists of five independent types of evaluation: (1) item 13 factors describe the Marine's performance of duty during the period covered by the report, (2) item 14 factors describe personal and professional traits and characteristics of the Marine as an individual during the period covered by the report (i.e., not necessarily related to the grades/mc's assigned to item 13 factors), (3) items 15 and 16 are broad in scope and rate the Marine as part of a larger population rather than on specific traits, (4) items 17 and 18 assist in understanding the other evaluations, and (5) items 19 and 20 are recommendations.

2. In completing items 13, 14, and 15a the reporting senior completes the block which represents the appropriate evaluation with an "X" that fills the box out does not extend beyond it. Blocks contain preprinted abbreviations for the mark they represent, as shown in figure 1-2 below. Reporting seniors should strictly adhere to these definitions avoiding the natural tendency to permit an individual's performance in one area to influence unduly the markings in all others. Each factor should be evaluated as a separate and distinct item.

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Further, reporting seniors must guard against assignment of inflated marks. Such inflation results in a skewed representation of individual characteristics and performance which adversely affects the value of the fitness report.

FITNESS REPORT MARKING ABBREVIATIONS		
Abbreviation	Meaning	Definition
NO	not observed	insufficient opportunity to evaluate
UN	unsatisfactory	unacceptable
BA	below average	below generally accepted standard
AV	average	qualified
AA	above average	highly qualified
EX	excellent	qualified to a degree seldom achieved by others of this grade
OS	outstanding	one of the clearly superior individuals of this grade known to the reporting senior

Figure 1-2. --Definitions and Abbreviations.

3. When rating a Marine, the reporting senior must make an entry for each item in section B (unless a "not observed" or "extended" report is being submitted). If no valid observation has been made in an area, then the factor(s) associated with that area should be marked, "not observed."

4. Item 13 (Performance). The following special instructions apply when marking item 13 factors:

a. Item 13a (Regular Duties). Marked "Not Observed" in all cases for academic (AC) and school (AT) reporting occasions.

b. Item 13b (Additional Duties). Marked other than "Not Observed" only when an additional duty (duties) required the Marine reported on to devote prolonged periods of time to such duty (duties). If a marking other than "Not Observed" is assigned, the additional duty (duties) performed will be identified in section C. If the mark assigned is marginal or adverse, justification for the mark given will also be included in section C.

c. Item 13d (Handling Officers). Always marked "Not Observed" when the Marine reported on is an NCO.

d. Item 13g (Tactical Handling of Troops)

(1) For ground officers and NCO's the tactical unit considered will be appropriate to the Marine's grade.

(2) In the case of naval aviators and naval flight officers whose primary duty is flying in a squadron, this item will be used to evaluate flying leadership qualifications. The officer's ability as a designated section leader, flight leader, helicopter aircraft commander, transport plane commander, tactical air coordinator (airborne) or in any other position of aeronautical leadership or combination thereof, will be graded and the specific qualification to which the item refers will be identified in section C.

5. Item 14 (Qualities). Qualities included in item 14 will be marked according to the following definitions:

a. Endurance (Physical and mental ability for carrying on under fatiguing conditions.)

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b. Personal Appearance (The trait of habitually appearing neat, smart, and well-groomed in uniform or civilian attire and maintaining the height-weight ratio prescribed in current directives.)

c. Military Presence (The quality of maintaining appropriate dignity and soldierly bearing.)

d. Attention to Duty (Industry; the trait of working thoroughly and conscientiously.)

e. Cooperation (The faculty of working in harmony with others, military and civilian.)

f. Initiative (The trait of taking necessary or appropriate action on own responsibility.)

g. Judgment (The ability to think clearly and arrive at logical conclusions.)

h. Presence of Mind (The ability to think and act promptly and effectively in an unexpected emergency or under great strain.)

i. Force (The faculty of carrying out with energy and resolution that which is believed to be reasonable, right or duty.)

j. Leadership (The capacity to direct, control, and influence others and still maintain high morale.) This trait should be evaluated in terms of staff as well as command responsibilities. The capacity to direct, control, and influence staff actions is as indicative of a Marine's leadership ability as is performance in a command or decisionmaking position. In addition, the ability to effectively communicate decisions, recommendations, and directions either verbally or in writing, or both, should be considered.

k. Loyalty (The quality of rendering faithful and willing service, and unwavering allegiance under any and all circumstances.)

l. Personal Relations (Faculty for establishing and maintaining cordial relations with military and civilian associates.)

m. Economy of Management (Effective utilization of personnel, money, and material resources.) This trait reflects the ability of the individual to efficiently and economically organize available resources within fiscal and manpower limitations.

n. Growth Potential (The capacity for professional development and assignment to increasingly demanding duties.)

o. The qualities of "endurance" (14a) and "presence of mind" (14h), although normally associated with a combat environment, may also be encountered in non-combat situations. Marking of these factors, therefore, is appropriate in either case when demonstrated by the Marine and observed by the reporting senior.

6. Items 13 (General Value to the Service) and 16 (Desirability)

a. Item 15 is not a summary or average of marks in items 13 and 14. It is the reporting senior's estimate of how the Marine compares with all other Marines of the same grade known by the reporting senior, taking into consideration all important factors such as performance, versatility, potential, and preference for having the Marine as a member of the command.

(1) Item 15a. This item will be marked "Not Observed" in all cases for academic (AC) and school (AT) reporting occasions.

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(2) Item 15b. Record numerically in the appropriate column the total number of Marines of the same grade who are marked "Outstanding," "Excellent-Outstanding," "Excellent," etc. When entering the numbers remain clear of marking boxes. This distribution must reflect all other Marines of the same grade under the reporting senior's supervision at the time of the report, as if all had been included in the reporting occasion. Inclusion of all other Marines of the same grade in this distribution is mandatory whether or not reports are actually submitted on all others at this time. This distribution serves to advise members of selection and assignment boards/processes of the relative standing of a Marine within a population of the same grade and should provide the discrimination necessary to identify truly outstanding Marines as well as those needing improvement. Since this mark is of vital importance to each Marine's career, reporting seniors must exercise utmost care and attention, ensuring that the members distributed in Items 15b and 15c realistically reflect actual spread of performance, avoiding an artificial cluster or false distribution.

(3) Item 15c. Fill in the blocks in each column so that the sum corresponds to the numerical value given in item 15b. If 15 or more in one column, fill in all blocks in the column. EXAMPLE: A reporting senior submits a report on one of 43 second lieutenants for a particular reporting occasion. Item 15 would appear as follows:

[illegible]

b. Item 16 refers to service in war. It does not necessarily refer to service in a combat area or billet, but rather relates to the increased rigors, stress, and responsibilities that accompany service in any capacity during war. This item will be marked "Not Observed" in all cases for academic (AC) and school (AT) reporting occasions.

7. Item 17 (Reports) and 18 (Observation)

a. In item 17, fill in the "yes" or "no" block of each lettered item as appropriate. If "yes" in any case, and a report(s) has not been submitted to the Commandant of the Marine Corps, attach a copy of a statement of the nature and attendant circumstances to the fitness report. If a report has been submitted to the Commandant of the Marine Corps, reference such report in section C, to the degree it can be identified.

(1) Item 17a (Commendatory)

(a) The following types of commendatory material warrant a marking of "Yes."

1. Recommendations for personal awards and decorations.
2. Certificates and letters of commendation or appreciation.
3. Routine orders promulgating meritorious mast.
4. Letters of appreciation not within the normal chain of command of the Marine concerned.

(b) Recommendations for meritorious work which were disapproved will not be referenced in this item, but may be commented on in section 2.

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(c) Letters which relate to the efficiency of a unit as a whole are not considered to commend a particular Marine, except the commanding officer of that unit, and will not be referenced or forwarded, except in the case of the commanding officer. If forwarded, such letters will not be included in the Marine's case file.

(2) Item 17b (Adverse). This item will be marked "yes" if adverse material directly reflecting on the Marine's performance of assigned regular or additional duties during the period covered by the report has been received by the reporting senior. If such adverse matters have led to disciplinary action, they will also be referenced in item 17c (see subparagraph (3), below).

(3) Item 17c (Disciplinary). This item will normally be marked "yes" if the Marine has received nonjudicial punishment or has been convicted by a civil or military court during the reporting period. No other adverse matter will be referred to in item 17c. Disciplinary material will be referred to in the fitness report covering the period during which the nonjudicial punishment or civil/military conviction(s) occurred; the actual offenses need not have been committed during the reporting period. See table 3-2, below, for specific instructions on completing item 17c. Also see paragraph 1003.6.

TABLE 3-2
RULES FOR COMPLETING ITEM 17c

R U L E	A	B	C	D
1	If disciplinary action is...	mark item 17c...	if...	and...
1	nonjudicial punishment	yes	at least 15 days have elapsed since imposition of NJP, and no appeal has been made	
2			NJP was appealed, but appeal was not granted	
3		no	NJP was appealed, and appeal was granted	
4			NJP was appealed, and final results are still pending	
5	court-martial conviction	yes	findings and sentence (if any) have been announced in open court	if case is on review, describe current review status in section C
6	civil conviction		findings have been adjudged	

b. In item 18, fill the block most appropriate to the degree of observation of the Marine's performance of duty.

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8. Item 19 (Qualification for Promotion) and 20 (Recommendation for Next Duty)

a. Item 19 is to permit the reporting senior to indicate his/her evaluation of the Marine's qualification for promotion.

(1) For general officers, chief warrant officers (W-4), and all sergeants major/master gunnery sergeants fill the "Not Applicable" block.

(2) If the Marine is considered qualified for promotion with contemporaries fill the "Yes" block. Marines recently promoted should be considered with their contemporaries and marked accordingly. Recent promotion is not sufficient reason, in itself, to mark other than the "Yes" block.

(3) If the Marine is considered not qualified for promotion with his/her contemporaries fill the "No" block and enter the following statement in section C: "Based on my estimate of this Marine's potential, I recommend that (he/she) not be promoted at this time." The mark must be fully explained in section C and constitutes a marginal fitness report requiring referral of the report to the Marine reported on for the completion of item 24.

(4) If it is considered that the Marine will not be qualified for promotion at any time fill the "No" block and enter the following statement in section C: "Based on my estimate of this Marine's potential, I recommend that (he/she) not be promoted." This mark must be fully explained in section C and constitutes an adverse fitness report requiring referral of the report to the Marine reported on for the completion of item 24.

(5) If the Marine is considered qualified for accelerated promotion, i.e., qualified for promotion ahead of contemporaries, do not mark any of the blocks in this item. Enter the statement in section C: "Based on my estimate of this Marine's potential, I recommend that (he/she) be considered for promotion ahead of contemporaries." This recommendation must be justified in a specific and concrete manner. General statements without explicit details are considered insufficient justification. In the case of enlisted Marines, commanding officers must submit detailed letters of recommendations to the Commandant of the Marine Corps (Code MPR-2). Enlisted Marines will not be considered for accelerated promotion solely on the basis of fitness report entries in block 19 or statements in section C of the fitness report.

9. Item 20 (Duty Recommendation)

a. Item 20 is to permit the reporting senior to indicate which one of the three duty preferences expressed by the Marine in item 10 of section A is supported (CONCUR) or, if none is appropriate, to recommend the Marine's next assignment (RECOMMEND).

(1) Concur. The blocks containing the numbers 1, 2, and 3 are used to express concurrence with item 10. Only one of the three blocks is to be filled. Do not mark any of these three boxes if desiring to make a recommendation.

(2) Recommend. If none of the three duty preferences expressed by the Marine in item 10 of section A is considered appropriate by the reporting senior this should be indicated by not marking any of the blocks containing the numbers 1, 2, and 3. The reporting senior must then indicate a recommendation for the Marine's next assignment by making (an) appropriate mark(s) using the blocks containing the letters "A," "B," and "C." If the reporting senior considers the Marine as suited for special duty assignments, all six blocks may be marked to indicate this fact. This recommendation may not be made, however, if the mark in block 14n (Growth Potential) is lower than "excellent."

(3) Permissible Marks for Item 20

1. CONCUR					
1	2	3	4	5	6
X					

Concur and recommend first duty preference as stated in item 10 of section A by marking block 1.

2. CONCUR					
1	2	3	4	5	6
	X				

Concur and recommend second duty preference as stated in item 10 of section A by marking block 2.

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10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Concur and recommend third duty preference as stated in item 10 of section A by marking block 1.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend EMP duty for next assignment by marking block A.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend garrison duty for next assignment by marking block A.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend school for next assignment by marking block C.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend independent duty for next assignment by marking blocks A and B.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend barracks duty for next assignment by marking blocks B and C.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend overseas duty for next assignment by marking blocks A and C.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend joint duty for next assignment by marking blocks A, B, and C.

10. CONCURRENCE	11. DUTY	12. DUTY	13. DUTY	14. DUTY	15. DUTY	16. DUTY	17. DUTY	18. DUTY	19. DUTY	20. DUTY	21. DUTY	22. DUTY	23. DUTY	24. DUTY	25. DUTY	26. DUTY	27. DUTY	28. DUTY	29. DUTY	30. DUTY	31. DUTY	32. DUTY	33. DUTY	34. DUTY	35. DUTY	36. DUTY	37. DUTY	38. DUTY	39. DUTY	40. DUTY	41. DUTY	42. DUTY	43. DUTY	44. DUTY	45. DUTY	46. DUTY	47. DUTY	48. DUTY	49. DUTY	50. DUTY	51. DUTY	52. DUTY	53. DUTY	54. DUTY	55. DUTY	56. DUTY	57. DUTY	58. DUTY	59. DUTY	60. DUTY	61. DUTY	62. DUTY	63. DUTY	64. DUTY	65. DUTY	66. DUTY	67. DUTY	68. DUTY	69. DUTY	70. DUTY	71. DUTY	72. DUTY	73. DUTY	74. DUTY	75. DUTY	76. DUTY	77. DUTY	78. DUTY	79. DUTY	80. DUTY	81. DUTY	82. DUTY	83. DUTY	84. DUTY	85. DUTY	86. DUTY	87. DUTY	88. DUTY	89. DUTY	90. DUTY	91. DUTY	92. DUTY	93. DUTY	94. DUTY	95. DUTY	96. DUTY	97. DUTY	98. DUTY	99. DUTY	100. DUTY
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Recommend as suitable for special duty assignments; i.e., recruiting officer or recruiter, recruit depot officer or drill instructor, Marine security guard battalion.

10. Item 21 (Reserved). This item will be left blank.

3005 COMPLETION OF SECTION C

1. The completion of section C is the responsibility of the reporting senior, and will be done in ball point or fountain pen in blue, black, or blue-black ink, or by typewriter. Comments concerning the professional character of the Marine reported on will be recorded in section C in a neat and legible fashion. It is normally expected that the comments in section C will amplify section B marks and will be confined to the space provided on the fitness report form. Brevity and accuracy are the keynotes, as excessive words tend to draw attention away from the true substance of the report and may even work to the detriment of the Marine being reported on by hiding an especially perceptive or valuable comment.

2. Adverse or marginal markings in either items 13a (regular duties) or 15a (general value to the service) of section B must be specifically justified in section C. Justification should mention specific and concrete occurrences which led to the adverse grade(s).

3. As a minimum, section C must contain comments in certain specified cases. Mandatory section C comments for specific circumstances are outlined in figure 1-3, below.

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MANDATORY SECTION C COMMENTS		
T Y 2	Section C Comment must	only if
1	explain physical fitness/ weight control status	such information is required by current MCO 6100.1_ for the Marine being reported on
2	Identify T/O grade of billet in which Marine is serving	T/O grade is higher than Marine's actual grade
3	justify marks in 11a and/or 15a	item 11a or 15a of section 3 marked adversely or marginally
4	define officer's aeronautical ability as an aircrewman	Marine is naval aviator/naval flight officer whose primary duty is flying
5	define officer's specific position of aeronautical leadership	Marine is naval aviator/naval flight officer in position(s) of flight command
6	note that duties required close contact/joint effort with members of other services, foreign nations, and high echelons of our own Government	such was not reflected in item 1c of section A (i.e., a "J" or "B")
7	indicate that report is for a "not observed" or "extended" period	appropriate block checked in item 12 of section 5
8	explain why Marine was not administered PFT	"RDNT" is entered in item 6a
9	describe the medical problem and expected duration	"NMED" is entered in item 6a

Figure 3-3.--Minimum Required Comments for Section C.

4. Other comments in section C must be consistent with the markings in section 3. Comments and recommendations pertaining to retention in aviation, on active duty in the Reserve program, etc., should be made only when specifically requested by the Commandant of the Marine Corps. In cases of academic (AC) and school (AT) reports, see paragraph 1003.2c (AC reports) or 1003.1c (AT reports), as appropriate.

5. Comments concerning the Marine's capacity to handle assignments of increasing responsibility, particularly those involving command; potential for advancement; ability to learn and adapt rapidly; abilities in oral and written communication; any special abilities, particularly instructional aptitude and ability; self-improvement efforts; knowledge of world affairs; off-duty community/civic activities; and effectiveness in the execution of equal opportunity responsibilities are illustrative of the characteristics which might be reflected in the evaluation.

6. As a word picture of the Marine being evaluated, section C must be accurate and meaningful. This means that, along with positive and strong characteristics, defects must also be described. The inclusion of minor and nonsignificant, or

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trivial, imperfections is not desirable and serves no useful purpose. Remarks attesting to the "lack of experience" of a Marine in a new job, for example, can be omitted from section C because inexperience in a new job is only to be expected; on the other hand, very rapid adjustment to a new job would be an appropriate comment.

7. Although their use is not encouraged, supplementary pages may be attached if comments in section C must, of necessity, be lengthy. In those few cases where supplemental pages must be used, they should identify the name, grade and social security number of the Marine being reported on, and the period and occasion of the report. Attach by staple to the space provided on the fitness report form.

1006 COUNSELING

1. Counseling is an essential element in the performance evaluation system; equal in importance to performance appraisal. Each Marine must be made aware of duties assigned, the standards of performance expected, how performance is judged, relative standing among peers, and the opportunities that exist for career development.

2. It is the responsibility of the reporting senior to ensure that each Marine clearly understands what standards of performance are expected and how well the individual is (or is not) performing. Mere statements such as "You are doing a good job - keep it up" are not good counseling or good leadership.

3. Counseling must be a continuous process. It should commence when a Marine first joins a unit, should continue at frequent intervals during the Marine's tour of duty, and terminate upon detachment. Since the initial counseling session is largely policy oriented (outlining expected standards and indicating how the reporting senior judges performance) it could be conducted at a group welcome aboard meeting, although a personal session is more desirable. Subsequent counseling sessions, however, must be on an individual basis and must be conducted at all levels and for all grades. Counseling may occur at any time and as often as it is needed; it cannot be reduced to a scheduled basis, but should take place on any occasion which is suitable. One such occasion is the preparation of a Marine's fitness report; Marines expect and are entitled to an individual counseling session at these times. Fitness reports will not be shown to the Marine being counseled, however, except as discussed in paragraph 4003.

4. In order to be effective, counseling must be positive and clear. Generalities and quick references to lofty principles, e.g., "Your overall performance seems o.k., but you need to work a bit harder on your esprit," do not counsel or guide. Positive counseling can be performed in a number of ways, but should include four definite steps:

- (1) Review with the Marine, individual performance to date.
- (2) Evaluate this performance.
- (3) Jointly establish a definite target(s) (i.e., a plan requiring the Marine's efforts) for maintenance or improvement of performance levels.
- (4) Establish a coaching plan (i.e., a plan requiring the reporting senior's participation) to guide the Marine toward the target(s) established in step (3).

5. Discussion of Counseling Stepsa. Reviewing the Marine's performance

(1) This step should consist of briefly describing to the Marine those performance of duty highlights which occurred since the last counseling session.

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as they are recalled by the reporting senior. This description is most effective if organized chronologically for effect, beginning with the first significant highlight, e.g., "at the beginning of the period, your squadron conducted carrier qualifications with a 100 percent record of success," and leading up to the last, e.g., "last week, your squad finished third in the Battalion drill competition."

(2) Even if a reporting senior has not personally observed a Marine's performance of duty, performance highlights must still be reviewed with the Marine. The individual must be advised, however, that such highlights are not based on personal observation. The source of the reporting senior's knowledge of the Marine's performance should be mentioned, e.g., "... based on recommended fitness report markings from the range officer...."

b. Evaluation of the Marine's Performance

(1) During this phase of the counseling session, the reporting senior places the Marine's performance highlights into a meaningful perspective by comparing them against Marine Corps and organizational standards and policies. Essentially, this is the same process which the reporting senior employed in preparing the Marine's fitness report.

(2) Career opportunities should be another topic of discussion in this session. As a minimum, the reporting senior should review the duty preferences which were indicated on the Marine's latest fitness report, and discuss the reporting senior's recommendation. The rationale for the recommendation must be explained, and the Marine should be encouraged to refer to appropriate career planning orders and bulletins for career pattern guidance prior to submitting duty preferences. It is important that the reporting senior dispel any false impressions regarding preferences of duty, such as, "...it looks good on your record," or, "...a good aviator always requests flight duty," etc.

c. Establishment of a Target

(1) This part of the counseling process serves to map for the Marine the road to improved (or consistent) performance. Clearly attainable targets must be defined. These should first be in areas of performance where the Marine is below the Marine Corps or organizational standard. They should be expressed in such a way as to be objective and easily measured. They cannot be too broad or include more than one step (at a time), or else the Marine will have difficulty in achieving them or even understanding how to achieve them. Some examples of performance targets that provide a clear level of required performance, and a sense of accomplishment on completion, are compared with less meaningful ones in figure 3-4, below.

Examples of Target Definition

Improvement needed in	Clear	Weak
Regular duties	Prepare first draft of an office SOP by 15 June.	Tighten up your office procedures.
Personal appearance	Get a regulation haircut at least once every 10 days.	Keep your hair more closely trimmed.

Figure 3-4.--Examples of Clear and Weak Counseling Terms.

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Training personnel	Prepare a master list of all 1d quarter training requirements by 10 December.	Get a better grip on scheduling of training
Administrative duties	Prepare a carbon copy on yellow paper of each letter signed "By direction" and send the copy to reach the adjutant within 24 hours of signing the original.	Let the commanding officer know what you sign "By direction."
Physical Fitness Test	Do 40 situps in 2 minutes by 10 April.	Improve your PFT score.

Figure 1-4.--Examples of Clear and Weak Counseling Terms--Continued.

(2) If the need for improvement is not evident in any area, the reporting senior should suggest targets which, when accomplished, will serve to maintain the Marine's high level of performance. This guidance must be as clear and precise as that discussed earlier, but should be aimed at the enhancement of already sound performance characteristics rather than the achievement of satisfactory performance. Consideration should be given to off-duty education, correspondence study in professional subjects, participation in a professional reading/discussion group, and other activities which tend to expand, rather than develop, the Marine's attributes.

d. Establishment of a Coaching Plan

(1) To be effective, counseling cannot end with the initial session. Coupling one of the key leadership steps, namely, supervision, with a sincere interest in the progress of each Marine toward clear target(s), produces a cardinal counseling rule: coach each Marine to performance improvement/maintenance. Without the personal coaching of reporting seniors, Marines may make little or no progress or improvement.

(2) Coaching must be positive and dynamic on the part of the reporting senior. It should consist of both scheduled and impromptu sessions and should be performed in a warm and sincere, but authoritative, manner. Several coaching sessions may be required before a Marine reaches a goal, but if coaching is done regularly, and if the goals are realistic, accomplishment will eventually occur. Improved performance as a result of counseling is almost guaranteed, but its success is dependent on both the individual Marine and the reporting senior; the Marine can rarely do it by himself/herself.

6. These four counseling steps can be accomplished informally, but should be conscientiously and carefully researched and planned. The use of counseling worksheets, notes, interview guides, and other aids is encouraged, and the documentation of counseling progress should serve as a strong indicator of a reporting senior's proficiency and skill as a counselor and leader.

7. For additional requirements in the case of an adverse or marginal report, refer to section 4.

1007 FORWARDING REPORT TO REVIEWING OFFICER

1. After completing all of the previous steps, the reporting senior will sign item 23 of section 5, enter the date, and forward the report to the reviewing officer for action. Prior to forwarding the report, however, the reporting senior must either (1) certify that the Marine has been counseled, or (2) explain on an attached sheet why counseling was impossible.

APPENDIX B

Performance Evaluation System Survey of
Marine Officer Students Attending the U.S. Army
Command and General Staff College, Class of 1980

Performance Evaluation System Survey

1. MCO P1610.7B, Performance Evaluation System, provides guidance for the conduct of the Marine Corps' performance appraisal system. The System consists basically of two components: (a) the Fitness Report which is a formal document administered with strict controls, and (b) a concept for performance coaching/counseling which is neither supported by a specially designed document nor administered uniformly throughout the Marine Corps according to specific controls. The Fitness Report is familiar to all Marine officers. Section 3006 "COUNSELING," which describes the Marine Corps concept of performance coaching/counseling, may be less so. Please answer the following questions based upon your understanding of Section 3006.

a. Differentiate between counseling and coaching.

(1) Counseling:

(2) Coaching:

b. On the following page write a performance target based, to the best of your memory, on the provisions of Section 3006.

c. As a reporting senior do you use the Fitness Report as a guide when executing your performance counseling duties?

d. In the past ten years how many reporting seniors--including writers of concurrent reports--have you had?

e. Of the reporting seniors enumerated above, how many conducted meaningful counseling relative to your performance?

f. Most large American organizations use performance appraisals to provide information for two purposes: (1) organizational control, such as identifying persons for promotion, assignment, merit pay, etc., and (2) efficient utilization and development of human resources which encompass performance counseling. Which of the two do you believe the Fitness Report (a) is designed to serve: 1 or 2?

Summary of Survey Results

Respondent	Question						
	a(1)	a(2)	b	c	d	e	f
1	CCR	CCR	ECV	Yes	11	4	1
2	ECT	ECT	TGR	Yes	14	2	1
3	CCR	CCR	ECV	Yes	16	2	1
4	ECT	ECT	ECT	Yes	11	8	1
5	N/A	N/A	N/A	Yes	10	2	1
6	ECT	ECT	ECT	Yes	16	2	1
7	ECT	ECT	TGR	No	20	5	1
8	ECT	ECT	TGR	Yes	7	3	1
9	ECT	ECT	ECT	Yes	5	3	1
10	ECT	ECT	TGR	No	12	0	1
Total					122	31	

Legend

CCR -- Completely correct response

ECT -- Essentially correct response, time element omitted

ECV -- Essentially correct response, slightly vague

TGR -- Too general a response

N/A -- Not applicable

APPENDIX C

Behavior-based Navy Officer Fitness Reports

The behaviorally anchored rating scales (BARS) included in this appendix were extracted from a study conducted by Walter C. Borman and Paul D. Johnson of Personnel Decisions Research, Inc., Minneapolis, Minnesota. The study was done under contract to the U.S. Navy. See Bibliography, Government Documents. The results of the study are reported by Walter C. Borman and Marvin D. Dunnette in the October, 1975, issue of the Journal of Applied Psychology in an article titled "Behavior-Based Verses Trait-Oriented Performance Ratings: An Empirical Study."

SECTION I

GUIDELINES FOR USING THE OFFICER FITNESS REPORT MATERIALS

Background

A task force of Naval officers, working with members of a private consulting firm, developed 14 categories of officer effectiveness. The "performance examples," which provide further definitions for each category of effectiveness, were drawn from the real-life experiences of these officers. Thus, the content of the rating scales deals with actual performance rather than vague personality traits or personal characteristics.

Description of Officer Fitness Report Materials

1. Rating Categories. Section II of this kit contains 14 categories of officer job performance.
 - a. General Definitions of Performance Categories. Immediately below each of the 14 category titles is a detailed definition of that performance category.
 - b. General Statements of Very High, High, Fully Adequate, Low, and Very Low Performance. Each category contains general descriptions of officer behavior at five different levels of performance from Very High to Very Low.
 - c. Examples of Very High, High, Fully Adequate, Low, and Very Low Performance. Performance examples for each category are based on the actual Naval experiences of members of the task force mentioned earlier.
2. Rating Forms. Ratings of subordinate officers will be recorded on the nine point rating forms provided in Section III.
3. Officer Developmental Plan Package. This package includes a discussion of performance appraisal techniques and three worksheets designed to aid you in improving each of your subordinate's performance (Sections IV and V).

Making the Ratings

1. First, you should turn to Section II, Category A-1 (Anticipating, Planning, and Executing), and read over the category definition, general statements of performance levels, and the performance examples.
2. Now consider your first subordinate officer to be rated. Place his typical behavior somewhere on the continuum of very high to very low as defined by the performance examples and the general statements of

different levels of performance for this category. Using this method of comparing each subordinate's typical performance on the category with the levels of performance defined by the five general statements and the performance examples, rate each of your subordinate officers on Category A-1. Record these evaluations on the rating forms provided in Section III. For each category, you should fill in the names of your subordinate officers to be rated and place "Xs" in the appropriate squares to the right of each name. Notice that the nine-point scale on these forms corresponds exactly with the nine levels of performance defined for each performance category in Section II. When you have finished rating each of your subordinates on Category A-1, you are ready to go on to Category A-2. Follow the same procedure on this category and on each of the other 12 categories in turn.

3. After you have completed your ratings on all 14 categories, turn to Section IV.

A. PERFORMANCE OF DUTIES: MISSION ACCOMPLISHMENT

A-1 ANTICIPATING, PLANNING, & EXECUTING

To be alert to task and mission requirements; to anticipate problems and plan for contingencies; to collect and verify information and to organize and employ resources for task accomplishment with economy of effort, and to follow through to completion.

VERY
HIGH
5 or 3

Officers Very High on this function can be expected frequently to anticipate problems and to coordinate resources for solving them with such great efficiency as to result in substantial savings of money, manpower, or material resources.

- a. An officer coordinated the complete overhaul of a ship, including consolidation and detailing of all schedules and developing full cooperation with assigned personnel to accomplish mission one month ahead of schedule with a saving of \$500,000.
- b. An engineering officer, over a period of three months, systematically directed the overhaul and correction of machinery and engineering deficiencies so that the entire engineering plant performed as designed, including ability to hold fuel power rpm for the first time within his ship's 15-year history.

HIGH
6 or 7

Officers High on this function can be expected to anticipate unusual mission requirements and to organize resources effectively to meet them.

- a. In anticipation of a serious cut in overhaul funds, a commanding officer directed his department heads to determine alternate methods and revise priorities so that his shipyard agreed to accomplish a total overhaul despite the setback.
- b. An officer anticipated problems and necessary safety precautions involving in derailing a ship and set up briefing sessions for officers, warrant officers, and warrant to make the best use of knowledge possessed by experienced personnel.
- c. An executive officer planned and carried out a drug education and prevention program on his ship by coordinating with Naval Investigative Service personnel to develop methods of apprehending users and of showing the dangers of drug use.

LOW
3 or 5

Officers Low on this function can be expected occasionally to neglect to anticipate certain requirements or to gather insufficient information or resources to meet them effectively.

- a. An officer composed a staff directive based on only partial information with the result that subordinate commands were confused and a new directive had to be issued.
- b. An officer neglected to ascertain necessary facts and made up a report based on personal conjectured opinions and emotion.

VERY
LOW
1 or 2

Officers Very Low on this function can be expected to fail either to anticipate problems or to follow through on routine functions with the result that loss of money, material, or manpower may occur.

- a. A project manager demanded only solutions during briefings from subordinates and would not listen to problems requiring his decision. As a result, project allocations were not met and an important project had to be cancelled.
- b. An officer did not anticipate pumping problems or develop firm plans for a transfer of fuel with the result that a 400 gallon oil spill occurred when fuel line was mistakenly connected to a fuel tank.
- c. An officer neglected routine maintenance on fuel oil valves and backup pumps with the result that power, electrical, and steering systems failed during critical evolution of a vessel, resulting in a collision.

SECTION II

A. PERFORMANCE OF DUTIES: MISSION ACCOMPLISHMENT

A-3 HANDLING STRESSFUL AND EMERGENCY SITUATIONS
To recognize and correct potentially dangerous situations; to respond quickly and effectively to take charge during emergencies; to remain composed and remain calm in the face of risks to personal safety; and, if appropriate, to jeopardize one's own safety to insure the safety of others.

VERY
HIGH
8 or 9

Officers Very High on this function can be expected to recognize and react without hesitation to hazardous situations and even to place their own lives in danger, when appropriate.

- P a. After seeing a car overturn and sink in a canal, an officer stopped his own car, dived into the canal, and successfully rescued a woman and a child.
- B a. An officer yelled, "man overboard, starboard side!" and without hesitation threw his own lifejacket to a crew member who had just been washed over the starboard side. Then, the officer put on another lifejacket while continuing to monitor the sailor in the water. This action enabled him to provide maneuvering instructions to the skipper over the phones during rescue operations resulting in a successful pickup.

HIGH
6 or 7

Officers High on this function can be expected to take charge immediately in potentially dangerous situations and to act to reduce the danger.

- P a. A destroyer making 18 knots, momentarily went aground. An officer, without request, immediately organized inspection parties to examine the interior spaces of the ship. He took charge of evaluating damage reports and made continuous and accurate reports to the CO.
- B a. An officer took the tiller of a crowded liberty boat and made an excellent landing when the coxswain had difficulty and became confused and reckless.

FULLY
ADEQUATE
5

Officers Fully Adequate on this function can be expected to act appropriately when faced with potentially hazardous situations to insure their own and the safety of others.

- P a. When warning lights indicated a possible malfunction in the engine of his aircraft, an officer notified the carrier and then returned.
- B a. While repairs were being made on the ship in port, an accident occurred injuring several men. An officer called for an ambulance and saw to it that the men were not moved until the ambulance arrived.

LOW
3 or 4

Officers Low on this function may not recognize possibly hazardous situations and may occasionally lose composure and act inappropriately.

- P a. A carrier air officer became so involved in handling a minor flight deck accident, he neglected to inform another aircraft that was low on fuel to proceed to a shore airfield.
- B a. This action resulted in the loss of the aircraft.
- C b. When an oil fire broke out, an officer attempted to put the fire out with a water fire extinguisher.

VERY
LOW
1 or 2

Officers Very Low on this function may become panic-stricken in hazardous situations, thereby endangering their own safety and the safety of others.

- P a. Although a pilot had sufficient fuel to circle the field safely two more times, the pilot abruptly landed his aircraft in the face of other traffic, thereby jeopardizing other lives and aircraft.
- B a. A staff watch officer of a police ship turned without signaling and almost collided with another ship in the formation. When he realized his error, he panicked, made a second improper turn, and collided with another ship.

B. SYSTEM COORDINATION & SUPPORT

B-1 CARRYING OUT ORDERS: FOLLOWING CHAIN OF COMMAND
To carry out assignments as specified, to follow the chain of command, to support policies of higher authorities, to show deference, but not blind obedience to orders from superiors; to constructively criticize policy decisions, and to constructively apply standard guidelines whenever possible.

VIEW
VIEW
8 or 9

Officers high on this function can be expected to carry out orders completely and with dispatch, but not blindly. Such officers are aware of the possibility of occasional errors in decisions; and, when appropriate, they make constructive suggestions to correct such errors.

- P a. While preparing to operationalize a training program outlined by his CO, an officer successfully mentioned an additional training area that his CO had "wanted to cover but had perhaps overlooked."
- F b. While carrying out his assignment according to his CO's orders, an officer developed a number of new ideas with some potential for better alternatives. The officer submitted a report to his CO in which he discussed the strengths and weaknesses of these new alternatives.

VIEW
VIEW
8 or 7

Officers high on this function can be expected to carry out orders and assignments constructively and to apply standard guidelines whenever possible so that their actions are in line with their superiors' expectations.

- P a. When his CO ordered him to develop a plan for improving the effectiveness of the ship's communications equipment, an officer developed a list of additional equipment and a plan for additional training of personnel.
- F b. When an officer who was assigned by his superior to reduce the number of personnel in his department by 10% discovered that the orders failed to cover several units, he also reduced those units by 10%.

FULLY
ADEQUATE
5

Officers fully adequate on this function can be expected to support their superiors' position and to carry out assignments according to specified orders, but without questioning the appropriateness of the orders.

- P a. Even though an officer had reservations about some of his CO's orders, he carried them out without questioning them.
- F b. An officer spotted a minor oversight in his superior's plans and completed the assignment before mentioning the mistake to his superior.

VIEW
VIEW
C 5

VIEW
VIEW
3 or 4

Officers low on this function can be expected to carry out orders incompletely and to make inappropriate criticism of decisions made by superiors.

- P a. An officer ignored some parts of his CO's plans on improving morale because he did not agree with them and didn't believe they would work.
- F b. An officer allowed some of his men to use the ship to shore radio equipment, even though he knew that his CO had a policy forbidding the use of the radio for personal calls.
- F c. An officer tried to arrange a transfer through a senior officer who was a friend, rather than through his CO.

VIEW
VIEW
1 or 2

Officers very low on this function can be expected frequently to criticize and to question decisions and orders from superiors and to completely disregard orders they disagree with.

- P a. A CO of a fighter squadron always criticized his superiors' decisions in front of junior officers.
- F b. While visiting another unit, an officer spoke disparagingly of his superior and advised others to avoid transferring into his unit.
- F c. During difficult maneuvers, an officer refused to carry out his orders until he had questioned his superior at length about them.

B-2. SYSTEM COORDINATION & SUPPORT

To keep superiors, subordinates, and others fully informed; to transmit information accurately; to be concise and in the point; to present ideas effectively both orally and in writing.

VERY
HIGH
8 or 9

Officers Very High on this function can be expected to anticipate requests for information and to provide sufficient information to get their ideas across concisely. They can also be expected to fit their presentations to their audience.

a. An officer wrote a memo to his subordinates spelling out precisely who could and who could not use restricted equipment, so that there could be no misinterpretation of the policy.

b. Even though he had not been told to do so, an officer sent his CO status reports every week so that the CO would be fully informed.

c. An officer who was reporting on a highly technical project, avoided using jargon and used examples which his audience readily understood.

d. An officer anticipated his superior's request for a full report of an accident and had the report ready when his superior called.

VERY
HIGH
6 or 7

Officers High on this function can be expected to supply all information effectively so that others are kept fully informed. They can be expected to present information clearly and precisely either orally or in writing.

a. An officer prepared a report which covered in detail every one of the topics his superior had requested.

b. In response to his CO's request for a report on his assignment, an officer wrote down each event in chronological order so that the CO would see how the mission unfolded.

c. In a long, involved project report, the officer put a brief summary of each section ahead of the appropriate chapter.

d. An officer sent a memo to his subordinates so that they could be informed of the success of their mission.

FULLY
ADEQUATE
5

Officers Fully Adequate on this function can be expected to provide information effectively and promptly when requested.

a. An officer sent his CO status reports on his unit's performance when the CO requested them.

b. An officer sent his reports to his superiors soon after he received a request for information.

LOW
3 or 4

Officers Low on this function can be expected to provide too much information, to be excessively wordy, and/or to fail to tailor their presentation according to their audience.

a. An officer sent his CO a 30-page report which included information which was irrelevant to the topic.

b. An officer spent two hours briefing his CO on an unimportant project.

c. An officer presented technical information to a civilian audience and used jargon, technical terms, and highly specific examples which most of his audience did not understand.

d. During his report of what had happened at a meeting, an officer discussed the weather, what had happened during the run to the meeting, what he had for lunch, etc.

VERY
LOW
1 or 2

Officers Very Low on this function can be expected to provide incomplete or incorrect information so that others are either not fully informed or misinformed.

a. An officer sent a three week old report to headquarters; the report was seriously out of date and inaccurate.

b. An officer did not double check the figures in his report and sent incorrect information to his CO.

c. An officer sent a report to his CO which covered only the first two days of an important four-day mission.

d. An officer sent a memo to his subordinates requesting them to submit reports of their activities, but he failed to specify a due date or format for their reports.

e. In a memo about a future meeting, an officer failed to specify who was to attend.

B. SYSTEM COORDINATION & SUPPORT

B-3 REPRESENTING THE NAVY TO THE PUBLIC
To project a favorable navy image, to maintain officer bearing and appearance; to exercise discretion in public behavior; to exhibit professionalism in personal and public contacts; and to accept and carry out reasonable requests from citizen groups.

VERY
HIGH
B or 3

Officers VERY HIGH on this function can be expected to convey to all observers an exceptionally favorable impression of the Navy and of Navy life. Such officers behave constantly in an intelligent, friendly, polite and confident manner and are never short of confiding.

- P a. While visiting a friend on the campus of a nearby university, an officer was confronted by a group of loud and unruly students. He talked with them for nearly an hour, and they parted with the feeling that the "Navy isn't so bad after all."
- NP b. An officer volunteered to head a local food raising school fair, even though he had been stationed in the community for only six months. He called on and obtained help from many key local leaders, and the school's goals were far exceeded.
- E

HIGH
B or 3

Officers HIGH on this function can be expected to convey to all observers an unusually favorable impression of the Navy and of Navy life. Such officers behave intelligently and with confidence and poise.

- P a. When the command was asked to give an overview of Navy personnel matters to a civilian group, an officer eagerly accepted the assignment and did such a good job that relations between the command and the community were significantly advanced.
- NP b. While driving home from his station, an officer in uniform was rear ended by an intoxicated driver who began to be highly abusive at a crowd of onlookers gathered. The officer hailed a cab to take the driver home, then he notified the police of the accident and arranged to have both damaged cars towed to a nearby vehicle station.
- E

VERY
Adequate
5

Officers fully adequate on this function convey a favorable overall impression of the Navy and of Navy life. Such officers are alert to the importance of projecting a favorable Navy image and they are able to do so.

- P a. An officer in uniform who was drinking and swapping sea stories with several friends at a bar quickly paid the bill and convinced his group to leave when it appeared that several civilians at a nearby table were distressed about their raucous behavior.
- NP b. An officer assigned to meet with a group of visiting civilian wife impressed them with his dynamic personality and his well-rounded knowledge in their particular field of expertise.
- E

LOW
3 or 4

Officers LOW on this function are generally alert to the importance of projecting a favorable Navy image, but they occasionally fail to do so because of some glaring, unbecoming personal characteristics, impulsive actions, or some other mildly boisterous behavior or mannerism.

- P a. While on leave in his hometown, a single officer attended a neighborhood party.
- E b. After scanning most of the evening local paper about his many love affairs, he made a pass at a woman whose husband happened to be out of town on business.
- NP c. An officer who was serving as host man at his brother's wedding showed up 15 minutes late wearing a dirty and badly wrinkled uniform.
- E

VERY
LOW
1 or 2

Officers VERY LOW on this function can be expected frequently to convey to all observers an unfavorable impression of the Navy and of Navy life. Such officers often are not alert to the importance of projecting a favorable Navy image. They may have poor bearing, and they may behave unintelligently, inconsiderately, impulsively, or in some other boisterous way.

- P a. After agreeing grudgingly to talk to a high school N.Y. group about "life in the Navy," an officer spent all his time telling off-color jokes and complaining about all the "yellow bellied draft dodgers among you kids these days."
- E b. An officer came out of a bar in mid-afternoon, staggered to the curb and urinated in the street.
- NP c. An officer at a cocktail party became the center of attention as he complained bitterly about the way "those stupid politicians in Washington are running things."
- E d. When asked to introduce the main speaker at a local sports banquet, an officer just a few minutes speechlessly staring himself to a nervous state and b-filing.

C. SELF-MANAGEMENT

C-1 INTEGRITY

In take required actions at appropriate regardless of personal consequences; to observe and enforce regulations regarding authorized use of equipment and personnel; to behave according to social and ethical standards and to be truthful in all material; to ensure and enforce regulations concerning use of restricted items aboard ship or station.

VERY
HIGH
5 or 3

Officers very high on this quality recognize the organizational importance of making accurate and truthful reports, and they do so, even though the consequences of such truthfulness may be personally damaging to them.

- P A junior officer accurately reported his senior officer's unsatisfactory instrument and requested flight in terms of the senior officer's threats that he would downgrade the junior officer's fitness report.
- A B A subordinate navigator reported that the commander was not being properly welcomed even though he knew this would reflect adversely on his department.
- C A

FULLY
ADEQUATE
5

Officers fully adequate on this quality are careful to follow regulations and rules, and they recognize the organizational importance of accuracy in what gets transmitted.

- P A An admiral sat on a sample by using his own personal car for all official transportation needs.
- A B A An operations officer whose instrument and qualification flight had been evaluated as unsatisfactory by a junior officer accepted the evaluation as accurate.
- C A

MUCH
6 or 7

Officers high on this quality are objective in transmitting information, and they behave otherwise and whenever possible to set examples of high ethical conduct.

- P A An officer never submitted a claim for reimbursement of expenses if he spent money of his own while traveling on per diem orders.
- A B A Station officer transmitted a message verbatim to his own family even though instructed by a superior officer to distort portions of the message which reflected unfavorably on the officer's government.
- C A

LOW
1 or 4

Officers low on this quality may occasionally use their position for making unauthorized use of Navy equipment, material, and personnel.

- P A A medical officer aboard a carrier in Bermuda engaged a station ambulance to load up with liquor and had it transported to the ship aboard a sailing liberty boat.
- A B A A squadron commander requisitioned 1200 rounds of ammunition for his own personal rifle.
- C A A commanding officer purchased a sailboat and had it put aboard his ship where he directed crew members to work on it and had it loaded with several thousand dollars worth of government property.

VERY
LOW
1 or 2

Officers very low on this quality may distort facts in order to avoid consequences which could be personally damaging or in order to gain special privilege.

- P A A ship suffered an oil spill due to improper valve line-up because an officer had lied when asked if he personally had checked the valve line-up.
- A B A A senior pilot of a squadron ignored orders to patrol false, landed on a false in false, and transmitted false position reports.
- C A An officer who was cited for a security violation lied about circumstances leading up to the incident.

C. SELF-MANAGEMENT

C-2 RESPONSIBILITY

To carry out assignments as completely as possible; to hold one's self accountable for results; to be reliable and punctual in executing and completing assignments; to make every attempt at meeting expectations and goals; to be prepared physically and mentally for assignments; to set an example of maturity and effectiveness for subordinates.

VIEW
N/A
B or S

Officers high on this quality can be expected to be reliable and to set an example of maturity and conscientiousness for their subordinates. They can also be expected to accept criticism for their unit without blaming others.

- a. An officer marked all night with his men to prepare for an inspection. He was also up at dawn the next morning to be sure that everything was in order.
- b. An officer decided not to leave the ship and go drinking with other junior officers because he had duty early the next morning and did not want to be out too late.
- c. A CO assumed responsibility for damage caused by one of his junior officers because the CO felt it was his fault for not giving the officer enough supervision.

N/A
B or S

Officers high on this quality can be expected to make every attempt at meeting commitments and to carry out assignments as completely as possible. They can also be expected to keep themselves in proper physical condition.

- a. An officer would not leave the ship to attend a staff officer's party because there was no officer on board to succeed in command.

- b. Even though he had been transferred to a new unit, the officer continued to call his successor and offer advice or assistance with projects he had not entirely completed before being transferred.

- c. An officer regularly exercised to keep his weight down and his body in shape. He also tried hard to get other officers on the base to join him.

- d. An officer regularly exercised to keep his weight down and his body in shape. He also tried hard to get other officers on the base to join him.

FULLY
AWARE

5

Officers fully adequate on this quality keep all appointments and meet necessary deadlines or they inform appropriate persons if they cannot do so.

- a. When an officer found he could not attend a meeting for which he had been scheduled, he contacted the chairman of the meeting and offered his apologies.
- b. When an officer received a top secret publication on board ship after working hours, he placed it in the Duty Officer's safe.

LOW
B or A

Officers low on this quality can be expected occasionally to be late for meetings or to be rather haphazard in completing assignments. They may also be below par in physical condition.

- a. A flight officer missed an important briefing because he had been drinking the night before and was too ill to get out of bed.
- b. An officer refused to go to a doctor to have a badly bruised hand examined. Instead, he tried to handle his normal duties.
- c. An officer turned in an incomplete report two weeks late.

VIEW
LOW
B or S

Officers very low on this quality can be expected often to fail to complete assignments and to frequently be surprised to learn their assigned duties. They may also set unsuitable and inappropriate examples for subordinates.

- a. An officer left the ship for several hours, even though he could not find a replacement for his duty watch. Therefore, there was no one on board authorized to take command.

- b. While flying as a wingman on combat patrols, an officer would drop behind and perform unauthorized stunts, endangering his life and the lives of others by not searching for enemy aircraft.

- c. A senior officer who was very overweight discouraged junior officers from keeping themselves in shape.

- d. An officer left top secret publications unguarded in his office while he was away on vacation.

C. SELF-MANAGEMENT

C-3 INDICATION

To seek out and accept increased responsibility, to volunteer for special or dangerous assignments, to sacrifice personal goals for the good of the Navy, to serve without complaint under arduous conditions, and to accept and show commitment to Navy goals.

VERY
HIGH
8 or 9

Officers Very High on this quality can be expected to volunteer to sacrifice time, energy, or safety for the good of the Navy or in an effort to contribute to overall Navy effectiveness.

- a. An officer volunteered to return immediately to the combat area and resume his previous duties when he learned that his relief had been killed in combat.
- b. An officer had orders to report to a new squadron while still in training at another command. On his own time, he went to his new squadron and spent every spare minute finding out what his new job was going to be. He reported to his new command, he was able immediately to function as a division officer in an area where he had no previous formal training or experience.

FULLY
ADEQUATE
5

Officers fully adequate on this quality can be expected to work diligently on assigned duties without complaint and to show concern for meeting Navy goals.

- a. An officer spent two days of his leave finishing an important report that his CO had asked for just before his leave.
- b. When he was called back to the ship unexpectedly due to a sudden change in weather conditions, an officer left a party he and his wife had been having and immediately returned to ship.

HIGH
6 or 7

Officers High on this quality can be expected to seek out increased responsibility and special assignments because of a desire to improve their effectiveness, and thereby to serve Navy goals better.

- a. A squadron duty officer, who was responsible for an important inspection, reported to his superior that a hit which would be covered in the inspection was missing. Even though his superior told him not to pursue the matter further, the officer collected the necessary material during the night in order to have it ready for the next day.

- b. An officer reported to his CO that he was personally interested in a fund drive about to be held and wanted to be designated as chairman so that he could insure that the drive was conducted properly.

- c. After returning from extended leave, an officer discovered the project he had sponsored was scheduled for evaluation on the following day. He worked late into the night to correct problems which had arisen in his absence.

LOW
3 or 4

Officers low on this quality can be expected to complain about the efforts required to complete assignments and to attempt occasionally to try to escape additional work and responsibilities.

- a. An officer told his commander that he would not be able to work on a special project because of a very heavy work load. However, the officer's excuse was unfounded since he had completed all of his previous assignments.
- b. When a shortage of personnel required every one to work twelve-hour shifts, an officer bitterly complained to fellow officers about the extra duty.
- c. An officer made every effort to depart ship promptly at liberty call without regard to existing work loads.

VERY
LOW
1 or 2

Officers Very low on this quality can be expected to show a complete disregard for Navy goals, to attempt to avoid dangerous or hazardous duty, and to be willing to sacrifice Navy goals for personal goals.

- a. An officer met a woman at the officer's club the night before he was due to leave. He made up a story about faulty radio equipment and delayed the flight and 12 other men to be could spend the night with the woman.
- b. After receiving orders for duty in Vietnam, an officer did everything possible to avoid going, trying to resign, getting and making excuses, and trying to secure confidential defector status.

VERY
HIGH

6 or 7

Officers VERY HIGH on this function can be expected to develop comprehensive training programs which meet special needs of both individuals and specific units. They will also monitor training results to see that those needs are met.

- a. When an officer discovered that several of his men were doing poorly in training because of weak reading skills, he set up a short, but intensive, course in reading which improved their reading skills and allowed them to benefit more from training.
- b. While training a flight deck crew, an officer had his men run through their jobs separately, in pairs, and finally in a group. As a result, each man knew his job and how it fit into the overall task of the entire crew.
- c. When new electronic equipment was installed on the ship, an officer held lectures for the entire crew to explain the history of the equipment, how the new equipment worked, and how the new equipment would affect the overall performance of the ship.
- d. During and after training, an officer talked with each trainee to determine how the men were reacting to the training program, what changes, if any, should be made, and whether or not the men felt that the training program was effective.

MUCH
6 or 7

Officers HIGH on this quality can be expected to use both textbooks and on-the-job experiences in training and to establish specific training objectives which they use in evaluating the effectiveness of training programs.

- a. An officer set a proficiency goal for his training program, developed his training objectives with that goal in mind, and then measured his program's effectiveness against that proficiency goal.
- b. An officer encouraged his mechanic trainees to apply what they had read in their textbooks and provided much opportunity for them to practice in.
- c. During initial training, an officer outlined the goals of the program to the trainees so that they knew exactly what was expected of them.

D. PERSONNEL UTILIZATION

D-1) TRAINING UNIT AND SUBORDINATE PERSONNEL
In determining personnel and team training requirements of subordinates, to establish training priorities; to develop effective training programs; to monitor training progress; to keep training programs current and relevant; and to evaluate the results of training programs.

FAIRLY
ADEQUATE
5

Officers FAIRLY ADEQUATE on this function can be expected to establish training programs to meet team training needs. They can also be expected to use whatever training materials are currently available and to have all relevant material available for use.

- a. An officer developed a training program for his men. However, only half of them were able to complete the course, because many had poor study skills.
- b. An officer was completely prepared to change the sequence of his training program, because he had all of the materials at hand.
- c. An officer prepared a series of slide lectures for his training program far in advance of the date he wanted to give them. Consequently, when he was ill, someone else was able to continue the program.

VERY
LOW
1 or 2

Officers VERY LOW on this function may sometimes refuse to make training available, because they do not believe in its effectiveness. Such officers may ignore individual and team training needs, thereby reducing unit effectiveness.

- a. An officer discouraged his subordinates from taking training courses, because he felt that they were a waste of time.
- b. An officer ignored requests for training, even though new men in his command complained that they did not know how to service the equipment they were using.
- c. Even though unit proficiency dropped, an officer would not recommend additional training for his men.
- d. An officer kept notices of new training programs from his men, because he did not want them to register for additional training.

LOW
3 or 4

Officers LOW on this function can be expected often to train by example or to use the same training program repeatedly without evaluating its effectiveness. They can also be expected occasionally to be unprepared to carry out training programs, because of insufficient preparation.

- a. An officer used the same training program over and over again without realizing that much of his material was out of date.
- b. An officer told his subordinates that they should watch him perform a complex task rather than explaining in detail what he actually was doing.
- c. An officer was unprepared to lecture and give a slide presentation to his trainees, because he had not reviewed his notes or scheduled a slide projector.

D. PERSONNEL UTILIZATION

D-2 MOTIVATING UNIT AND SUBORDINATE PERSONNEL
To contribute to the morale of both assigned personnel and of the entire command; to recognize and to utilize appropriately applied commendation and censure techniques; to supervise subordinates without micromanaging; to stimulate superior performance by personnel example; to set attainable goals for subordinates; and to reward individuals for jobs well done.

VEAF
MIGM
B or 3

Officers very high on this function can be expected to work closely with men to reach mutually satisfying performance goals, and to reward personnel suitably for their efforts, resulting in consistently high levels of both unit effectiveness and overall morale.

- P a. A new department head met with his personnel to set firm and fair individual and group performance goals. He worked with his subordinates to reach these goals and individually rewarded deserving personnel.
P b. He achieved a 100% reenlistment rate in a department that previously had a zero rate.
P c. A commanding officer, by first discussing his expectations with junior officers and then giving them an unusually high degree of responsibility for carrying out important tasks, was able to generate requests from 7 out of 10 reserve officers for incorporation into the regular Navy.

MIGM
B or 3

Officers high on this function can be expected to set challenging goals for group performance and to reward group efforts to give recognition for jobs well done.

- P a. An engineering officer established a goal for his entire unit; namely, to provide constant electrical power for the ship's deployment. When the unit reached this goal, he awarded extra liberty for them.
P b. An officer, after inspecting boiler spaces on an older ship, showed how pleased he was with its cleanliness by eating lunch on the deck grating while dressed in his whites, thereby enhancing morale of the engineers.

VEAF
MIGM
B

Officers fully adequate on this function can be expected to give proper recognition to worthy subordinates and to maintain generally good unit and subordinate morale.

- P a. An officer took a subordinate and his wife out to dinner as recognition for the subordinate's writing an outstanding report that received high praise from headquarters.
P b. An officer made it a practice to tell new men exactly what he expected of them in their jobs when they first joined his unit.

VEAF
MIGM
B or 3

Officers very low on this function can be expected frequently to show little or no recognition for the good work by subordinates, to reward ineptness, and to set goals that show little awareness or concern for subordinates' capabilities.

- P a. An officer assigned a highly capable electronics technician to a demanding job chipping paint off a bulkhead even though other less skilled individuals were available for the detail.
P b. When one of his subordinates came up with an idea that was put into practice fleet-wide, an officer refused to compliment the man's ideas and said that the subordinate had merely "lucked out."

VEAF
MIGM
B or 4

Officers low on this function can be expected to fail to reward worthy individual efforts at times and occasionally to establish either unrealistic or poorly defined work goals for their subordinates.

- P a. An officer told his subordinates not to "touch the tool" in submitting reports for improvements because he disliked shuffling letters or handling administrative details.
P b. An officer told his men that they had only three days to replace a malfunctioning missile guidance system, even though he knew that the job actually required two weeks to complete.

U. PERSONNEL UTILIZATION

U-3 PERSONAL CONCERN FOR SUBORDINATES
 To show consideration for subordinates' attitudes and frame of mind; to help subordinates and/or their dependents with problems; to express genuine concern for the safety and well-being of personnel; to refrain from exploiting personnel for personal gain.

VERY
HIGH
5 or 3

Officers Very High on this function can be expected to show genuine concern for subordinates and their families by readily providing help for problems as they come up, so that personnel perceive them as someone they can go to for help.

- P A. A command duty officer received word that the child of a pilot on flight off the carrier was critically ill with pneumonia. By the time the pilot had returned, the command duty officer had written emergency leave orders and reserved air transportation for the pilot.
- Q A. When a squadron of ships was preparing for deployment, a senior commander took time to give a detailed briefing to dependent of the ship's personnel about services available for them from his staff and to inform them of help they could obtain with their personal problems.
- A B. When a squadron of ships was preparing for deployment, a senior commander took time to give a detailed briefing to dependent of the ship's personnel about services available for them from his staff and to inform them of help they could obtain with their personal problems.
- C C. When a squadron of ships was preparing for deployment, a senior commander took time to give a detailed briefing to dependent of the ship's personnel about services available for them from his staff and to inform them of help they could obtain with their personal problems.
- D D. When a squadron of ships was preparing for deployment, a senior commander took time to give a detailed briefing to dependent of the ship's personnel about services available for them from his staff and to inform them of help they could obtain with their personal problems.

VERY
HIGH
5 or 3

Officers High on this function can be expected to give personnel attention to insure the general well-being of subordinates, thereby creating goodwill among personnel.

- P A. A junior officer was injured during a baseball game and was suffering from partial loss of memory. His commanding officer called the junior officer's wife to see how he was, went to the hospital when he was admitted, and visited him during his three-day stay.
- Q A. A personnel officer obtained an increased period of observation for a rated man who had attempted suicide, even though a psychiatrist had recommended that he be returned to duty.
- A B. A personnel officer obtained an increased period of observation for a rated man who had attempted suicide, even though a psychiatrist had recommended that he be returned to duty.
- C C. A personnel officer obtained an increased period of observation for a rated man who had attempted suicide, even though a psychiatrist had recommended that he be returned to duty.
- D D. A personnel officer obtained an increased period of observation for a rated man who had attempted suicide, even though a psychiatrist had recommended that he be returned to duty.

LOW
3 or 1

Officers Low on this function can be expected occasionally to show lack of concern for subordinates and to provide help only sporadically, so that personnel may perceive them as lacking consideration.

- P A. A senior officer wrote a junior officer's wife telling her of a schedule he had set for her husband's night reduction.
- Q A. When the son of an enlisted man was hospitalized for surgery, an officer sent a message to the man that was in general and vague that it gave no details about him.
- A B. When the son of an enlisted man was hospitalized for surgery, an officer sent a message to the man that was in general and vague that it gave no details about him.
- C C. When the son of an enlisted man was hospitalized for surgery, an officer sent a message to the man that was in general and vague that it gave no details about him.
- D D. When the son of an enlisted man was hospitalized for surgery, an officer sent a message to the man that was in general and vague that it gave no details about him.

VERY
LOW
1 or 2

Officers Very Low on this function frequently disregard attitudes and feelings of personnel and may do things against subordinates' well-being.

- P A. Though a division officer was fully aware of the unsatisfactory conditions of "cleanliness" in his subordinates' living places, he did nothing to correct the situation.
- Q A. After a carpenter took an injured officer to the wardroom to bandage his crushed hand, a senior officer barged in, complaining about the blood on the wardroom rug.
- A B. After a carpenter took an injured officer to the wardroom to bandage his crushed hand, a senior officer barged in, complaining about the blood on the wardroom rug.
- C C. After a carpenter took an injured officer to the wardroom to bandage his crushed hand, a senior officer barged in, complaining about the blood on the wardroom rug.
- D D. After a carpenter took an injured officer to the wardroom to bandage his crushed hand, a senior officer barged in, complaining about the blood on the wardroom rug.

D. PERSONNEL UTILIZATION

D-4 CONSISTENCY AND FAIRNESS WITH SUBORDINATES
 To give timely, objective, and accurate performance appraisals; to criticize or reprimand subordinates only in private; to give constructive feedback without appearing to belittle or berate subordinates; to establish and enforce policies uniformly and consistently; to avoid playing favorites; and to keep promises.

WAR
 8 or 9

Officers vary high on this function can be expected to criticize subordinates in private and praise them in public and never to be harsh or abusive. They can also be expected to give objective and timely performance appraisals which provide guidelines for future performance.

- P a. The CO announced to the whole ship that one of the officers on board had done an outstanding job, and that the whole ship could be proud of his performance.
- Q A. A commanding officer waited until his junior officer finished supervising a detail before he called him into his office to suggest how he might improve his supervision the next time.
- R b.
- S c.
- T d.
- U e.
- V f.
- W g.
- X h.
- Y i.
- Z j.

WAR
 6 or 7

Officers high on this function can be expected to evaluate all subordinates objectively against the same standards and to obtain all facts before making decisions.

- P a. At a nonjudicial hearing, the CO heard testimony that one man had beaten another without provocation. When the CO investigated further and found that the beating had been exactly reversed the week previously, he disciplined both men.
- Q A. An officer refused to blame a subordinate for an oil spill until he was absolutely certain that it had been that man's fault.
- R b.
- S c.
- T d. An officer refused to grant special privileges to a subordinate who was the ship's star basketball player, even when other officers asked him to do so.
- U e.
- V f.
- W g.
- X h.
- Y i.
- Z j.

WAR
 3 or 4

Officers low on this function can usually be expected to give feedback to subordinates only reluctantly, to show occasional favoritism, and to be somewhat unfair in completing performance appraisals.

- P a. A CO demoted the fitness report of one of his subordinates because the subordinate did not buy a blazer with the ship's emblem on it.
- Q A. b. Even though an officer knew that one of his subordinates was doing his work properly, he did not tell the man because he wanted to avoid a confrontation.
- R c.
- S d. An officer gave some of his men extra privileges because they all came from his home town.
- T e.
- U f.
- V g.
- W h.
- X i.
- Y j.
- Z k.

WAR
 1 or 2

Officers very low on this function can be expected to use a "double standard" when evaluating subordinates, and at times even to belittle their subordinates' performance. They may also be rather harsh when criticizing subordinates.

- P a. A commanding officer purposely tells the ship's public address system on so that others would hear while he criticized one of his junior officers.
- Q A. b. After having berated one subordinate for a minor offense, an officer only mildly reprimanded another subordinate who did the same thing.
- R c.
- S d. An officer "punished the other way" when some of his subordinates broke rules, but he severely disciplined others when he did covered breaking the same rules.
- T e.
- U f.
- V g.
- W h.
- X i.
- Y j.
- Z k.

D. PERSONNEL UTILIZATION

D-5 CONCERN FOR MINORITY PERSONNEL MATTERS
 To be aware of special needs of minority personnel; to educate unit personnel concerning minority personnel matters; to investigate grievances objectively and to take positive action to redress substantiated grievances; to reduce racial tension among personnel by confronting issues of discrimination realistically and with maturity.

VERY HIGH
 HIGH
 6 or 7

Officers Very High on this function can be expected to investigate grievances and to take insignificant action to redress substantiated grievances, thereby reducing racial tension among personnel. They can also be expected to undertake other innovative actions to alleviate racial tensions.

a. An officer actively sought out experienced black community leaders and asked them to work with a group of black seamen who wanted to set up a black studies course on the base.

b. A commanding officer held monthly meetings with minority group representatives so that they could air their complaints. During these meetings, he discussed results of his attempts to redress grievances.

c. When a race riot almost occurred on the base, a commanding officer selected a group of junior officers who were sensitive to the problem of minority group relations, and had them meet with small, interested groups of seamen to discuss problem, thereby airing grievances and reducing tensions on the base.

MEDIUM
 6 or 7

Officers High on this function can be expected to be objective in investigating and acting on minority group problems, and to be open and mature in discussing minority group problems.

a. An officer organized a minority affairs committee of departmental representatives including blacks, Filipinos, Japanese, and Mexicans, as well as education representatives, thus increasing the effectiveness of the program.

b. When black seamen complained that they were being denied opportunities for training, the appropriate officer investigated, found actual discrimination in actual assignments, and acted to correct the situation.

FULLY
 ADEQUATE
 5

Officers Fully Adequate on this function can be expected to show awareness and concern for minority group members whenever problems arise and to insure that their subordinates refrain from discriminating against minority group members.

a. When an officer learned that one of his junior officers had spoken disparagingly of blacks, he counseled with the junior officer, cautioning him about the impact of his actions, and directing him to refrain immediately from any and all such behavior.

b. An officer had difficulty interacting harmoniously with minority group members so he asked another officer who had experience working with minority groups to work with him to help solve minority group problem in his unit.

LOW
 3 or 4

Officers Low on this function can be expected to resolve racial problems by preferential treatment or assignment of minority group members without regard for possible misinterpretation by majority members of the unit.

a. To prevent unpleasantness, the officer found a junior officer who couldn't object to a minority officer living with him. He then assigned the minority officer directly to that state room rather than to the junior officer's bunk room.

b. A department head approved the transfer of a black to another unit even though he knew that the only reason for the request was that the black was in a division where he was the only minority member and the division officer fearing the request wanted the black transferred to a unit containing a high percentage of minorities.

VERY
 LOW
 1 or 2

Officers Very Low on this function can be expected to fail to investigate minority group grievances objectively and to discriminate openly against minority group members.

a. A commanding officer told his junior officers that if they had any "trouble with niggers" in their units to tell him, and he would transfer them to other units.

b. When a senior enlisted man made a formal complaint to the CO about discrimination in his unit, the commanding officer, apparently insensitive to the implications of the complaint, failed to direct any inquiries into the incident.

APPENDIX D

Navy Recruiter Job Performance Ratings

The Navy recruiter BARS in this appendix were developed by Personnel Decisions Research, Inc., Minneapolis, Minnesota, under contract to the U.S. Navy. See Bibliography, Government Documents. The author does not know whether or not these BARS were ever incorporated into the recruiter appraisal process used by the Navy's recruiting service.

GUIDELINES FOR MAKING NAVY RECRUITER JOB PERFORMANCE RATINGS

Eight categories or facets of job performance for the job of Navy Recruiter are named and defined on the following eight pages. The eight performance categories are:

- A. LOCATING AND CONTACTING QUALIFIED PROSPECTS
- B. GAINING AND MAINTAINING RAPPORT
- C. OBTAINING INFORMATION FROM PROSPECTS AND MAKING GOOD PERSON-NAVY FITS
- D. SALESMANSHIP SKILLS
- E. ESTABLISHING AND MAINTAINING GOOD RELATIONSHIPS IN THE COMMUNITY
- F. PROVIDING KNOWLEDGEABLE AND ACCURATE INFORMATION ABOUT THE NAVY
- G. ADMINISTRATIVE SKILLS
- H. SUPPORTING OTHER RECRUITERS AND THE COMMAND

The following are guidelines to help you make accurate ratings of individual Navy Recruiters' job performance. You should record your actual ratings in the booklet titled, "Navy Recruiter Rating Scales."

First, notice that each of the eight Performance Categories is labeled and defined carefully at the top of the page.

Then, four levels of job performance effectiveness are listed and three descriptive statements are provided to help you define or get a fix on each level. The four levels of effectiveness are:

- 9 or 10: EXTREMELY EFFECTIVE
- 6, 7, or 8: EFFECTIVE
- 3, 4, or 5: MARGINAL
- 1 or 2: INEFFECTIVE

The most important part of the entire rating task is for you to read all the descriptive statements very thoroughly so that you have firm knowledge of the kind of performance that defines each of the above four levels for each Performance Category.

In rating the job performance of a specific Navy Recruiter, first decide which set of descriptive statements most closely matches that recruiter's typical performance for the particular Performance Category. After deciding that the recruiter's typical job performance most closely resembles the descriptive statements corresponding to EXTREMELY EFFECTIVE, EFFECTIVE, MARGINAL, or INEFFECTIVE, consider how that recruiter's performance stacks up in comparison with others who are at the same level of effectiveness.

2.

Please work through your ratings category by category. That is, evaluate all recruiters on the first Performance Category (Locating and Contacting Qualified Prospects) before moving on to Category 8. Follow this procedure for all eight Performance Categories.

Ask yourself the question: "Within this level of performance effectiveness, is this recruiter among the more effective or among the less effective?" For example, you might rate a recruiter as MARGINAL (3, 4, or 5) but feel that his or her typical performance is really slightly better than the level of performance given by the three descriptive statements corresponding to MARGINAL, even though it definitely does not stack up to the level portrayed by statements at the EFFECTIVE level. You would then give this recruiter a rating of "5."

On the other hand, if the recruiter were judged to be squarely in the middle of the MARGINAL range, again based upon a match between the descriptive statements and his or her typical performance, a rating of "4" would be appropriate. In other words, use the two or three numbers within each effectiveness level to make finer distinctions about recruiters rated within each level.

THINGS TO GUARD AGAINST

Several sources of error can contribute to inaccuracies in your ratings. Here are a few suggestions for overcoming them:

1. Consider each Performance Category separately from all the rest. An almost universal error in ratings is called **HALO ERROR**. It occurs when the rater gives about the same ratings to a person on all aspects of performance. Usually this error occurs because a rater has not taken enough time to get clearly in mind what each separate category of performance refers to. Remember we are asking you to describe or evaluate each ratee on eight different categories of performance. As you consider each of the persons you are rating, try to avoid getting into the habit of giving about the same rating to him/her on each performance category. Consider each category separately from all others. Be sure to rate all ratees on each category before going on to the next category.
2. Consider each ratee's performance over time and not on just one or two occasions. Another type of error occurs when a ratee is influenced by just a single event or a recent occurrence. As you consider each ratee's performance, think back over all the time you have known him/her and try to avoid being influenced by just one or two events. Base your ratings on all your observations of the person and not just a few.
3. Avoid being misled by such things as appearance, education, family background, and other personal characteristics. Another common error in rating is called **STEREOTYPE ERROR**. It occurs when a rater allows himself to be influenced by other things than what the person has actually done on the job. In considering each ratee's job performance, try to ignore everything else you may know about that person. Base your rating strictly on what the individual has done on the job.
4. Avoid using your own definitions for the various performance categories. A common reason for inaccurate ratings is that raters have different definitions of the performance categories. Terms such as "Gaining and Maintaining Rapport" and "Salesmanship Skills" can have different meanings for different raters. This is why it is so very important for you to read the definitions and behavior statements carefully for these performance categories. Avoid any previous impressions of what these things have meant to you. Base your ratings on the definitions which are provided in the rating booklet you have received.

A. LOCATING AND CONTACTING QUALIFIED PROSPECTS

"prospecting" effectively; contacting large numbers of persons likely to join the Navy; skillfully using the telephone; referrals, recruits, advertising ideas, special events, etc.; to contact and get the attention of young persons eligible for Navy service; knowing where and when to prospect; ability to persist in prospecting and following up on leads even under considerable adversity; getting prospects into the office.

9 or 10

Extremely Effective Performance

- Displays exceptional ingenuity and energy in advertising the Navy and in locating prospects.
- Makes very judicious use of persons recruited recently or placed in CACHE to get names of qualified young men and women likely to join the Navy.
- Is adept at using a variety of prospecting tools effectively: prospect cards; radio, TV, and newspaper advertising; school contacts; personal appearances; telephone.

6, 7, or 8

Effective Performance

- Uses a number of sources for prospecting, such as unemployment offices, sports events, and employees at youth hangouts.
- Usually persuades prospects to visit the recruiting office by using the telephone effectively or by talking to prospects in person.
- Follows up promising leads on potential recruits.

3, 4, or 5

Marginal Performance

- Is somewhat slow and unaggressive in pursuing leads and does not make good use of recruits or others in obtaining leads.
- Exerts effort prospecting, but does not seek recruits in optimal locations.
- Tends to spend too much time with a prospect at the expense of contacting other prospects, or may spend time with a person who is disinterested or has something else to do.

1 or 2

Ineffective Performance

- Possesses poor telephone skills; may be reluctant to make calls or may sound disinterested and bored when talking to prospects.
- Uses very few prospecting tools; waits for prospects to come to him; almost always fails to follow up on leads, even promising ones.
- Fails to become familiar with his recruiting area, and thus lacks knowledge about sources of recruits.

B. GAINING AND MAINTAINING RAPPORT

Being hospitable to prospects in the office; gaining the trust and respect of prospects; adjusting to applicants' styles and acting appropriately with different types of applicants.

9 or 10

Extremely Effective Performance

- Deals very effectively with persons of all races; greets all prospects appropriately; is adept at settling them at ease and getting them to talk, regardless of their background, race, or personality.
- Is adaptable, but not phony in interacting with all types of prospects; maintains a sincere, courteous, and friendly atmosphere in the office.
- Answers prospects' questions politely and patiently, no matter how unimportant they seem.

6, 7, or 8

Effective Performance

- Is almost always able to put prospects at ease when they first enter the office.
- Expresses concern toward recruits and shows interest in their recruitment activities; for example, warmly wishes a recruit good luck in boot camp.
- Shows interest in most persons who enter the office and interacts with them in a warm and friendly way.

3, 4, or 5

Marginal Performance

- Has a standard approach with all persons which, at times, is inappropriate, such as a manner of greeting, speech, or telling sea stories.
- Occasionally appears disinterested when with a prospect; sometimes forgets an applicant's name.
- Is discourteous at times; for example, will sometimes interrupt an applicant while he/she is speaking.

1 or 2

Ineffective Performance

- Ignores or is rude to applicants who do not seem, at first sight, to be "good Navy recruits."
- Will interrupt an ongoing interview to interview another person or will perform other duties during an interview and give an impression of being disinterested.
- Is cold and impolite upon initial meeting and answers questions in a disinterested, nonpersonable way.

C. OBTAINING INFORMATION FROM PROSPECTS AND MAKING GOOD PERSON-NAVY FITS

Listening skills; making accurate judgments about prospects' needs, programs desired, etc., based on good interviewing skills; effectively obtaining information about prospects from other sources (e.g., high school principal) to assess their qualifications and needs; assessing accurately prospects' eligibility for various programs.

9 or 10

Extremely Effective Performance

- Always listens attentively to applicant and then asks the right questions at the right time so that applicant reveals both positive and negative information about his/her interests and capabilities.
- Always talks with prospects' school counselors, teachers, friends, and parents in a discreet, genuinely interested manner and thus obtains relevant information about prospects' interests, abilities, and, when applicable, needs for waivers.
- Consistently remembers and analyzes information gathered from prospects to make wise suggestions about programs to consider; very rarely mismatches an applicant's interests and abilities with Navy program requirements.

6, 7, or 8

Effective Performance

- Listens to individuals' reasons for considering the Navy and asks questions about their interests.
- Consistently makes routine checks on applicants to determine their eligibility for enlistment.
- Tries to identify Navy programs that are well suited for the applicant's needs, interests, and capabilities.

3, 4, or 5

Marginal Performance

- Sometimes talks too much without letting prospects or applicant talk enough; doesn't always learn enough about the individual to recommend appropriate programs.
- May check a few references to learn about an applicant but does not thoroughly check them all.
- Suggests programs prematurely or suggests programs that do not result in a good match for the individual and the Navy.

1 or 2

Ineffective Performance

- Ignores applicants' stated interests; does not ask applicants what they want.
- Learns very little from others about applicants; checks very few, if any, references.
- Suggests programs applicant is either not qualified for or not interested in.

D. Salespersonship Skills

Skillfully persuading prospects to join the Navy; using Navy benefits and opportunities effectively to sell the Navy; closing skills; adapting selling techniques appropriately to different prospects, effectively overcoming objections to joining the Navy.

9 or 10

Extremely Effective Performance

- Is able to sell almost any appropriate program to an applicant even when the applicant is set on a different program for which he/she does not qualify; describes Navy life in an appropriate and convincing way for each prospect; is exceptionally effective and quick in countering objections about the Navy or a program.
- Always knows when to close the sales presentation and start processing the paperwork.
- Knows just the right people to include or to mention while talking with a prospect; consistently identifies those benefits most likely to convince each prospect.

6, 7, or 8

Effective Performance

- Is capable of selling several programs; shows films relevant to programs and to Navy life; may use cruise book effectively to help sell Navy.
- Asks prospect if he/she is ready to enlist after presenting a convincing argument for joining the Navy; will eliminate most of his/her presentation if prospect shows readiness to enlist.
- Often mentions specific benefits likely to persuade a prospect; describes Navy life well; is prepared to counter frequently heard objections about the Navy.

3, 4, or 5

Marginal Performance

- Describes Navy benefits, programs, and life in a way that is not always suited to the particular prospect.
- Misses opportunities to close a sale; for example, continues to talk after prospect says he/she is ready to enlist.
- Often ignores criticisms of Navy life a prospect makes.

1 or 2

Ineffective Performance

- Overalls a specific program and loses prospects when they don't qualify for it; neglects to describe other important aspects of Navy life.
- Is frequently unable to counter objections to joining the Navy; may end a conversation when prospect states an objection.
- Frequently emphasizes benefits or aspects of Navy life which are irrelevant or unappealing to the particular prospect; may describe Navy life, benefits and programs in a bland, uninteresting way.

E. ESTABLISHING AND MAINTAINING GOOD RELATIONSHIPS IN THE COMMUNITY

Contacting and working effectively with high school counselors, newspaper editors, radio and TV personnel, and others capable of helping recruiters to enlist prospects; building a good reputation for the Navy by developing positive relationships with persons in the community; establishing and maintaining good relationships with parents and family of prospects; presenting a good Navy image in the community.

9 or 10

Extremely Effective Performance

- Is exceptionally adept at cultivating and maintaining excellent relationships with school counselors, teachers, principals, police, news media persons, local business persons, and other persons who are important for getting referrals and free advertising.
- Is imaginative in informing the public about the Navy; actively promotes the Navy and makes friends for the Navy while doing it; always distributes the most current Navy information.
- Volunteers off-duty time to work on community projects, celebrations, parades, etc.

6, 7, or 8

Effective Performance

- Spends productive time with individuals such as police, city government, or school officials; may lunch with them, distribute calendars, appointment books, buttons, etc., to them, and/or invite them for cocktails.
- Arranges for interested persons such Navy activities as trips to the Naval Academy; keeps relevant persons informed of Navy activities.
- Encourages principals, counselors, and other persons important to a prospect to call if they have any questions about the Navy.

3, 4, or 5

Marginal Performance

- Contacts school officials only sporadically; keeps them waiting for information they want; relationship with counselors, teachers, etc., and persons important to an applicant or recruit are distant and undeveloped.
- Is not alert to opportunities to promote the Navy; rarely volunteers off-duty time to promote the Navy and is unenthusiastic when approached to do something for the community; rarely accepts speaking invitations.
- Is, at times, discourteous to persons in the community. For example, sends form letters to persons who have assisted him or other Navy recruiters. Is not always alert to the family's desire for more information about the Navy and the program in which their son or daughter enlists.

1 or 2

Ineffective Performance

- Does not contact high school counselors; does not accept speaking engagements; drives around in car instead of getting out and meeting people.
- Alienates persons in community or persons important to an applicant or recruit by ignoring them, not answering their questions, responding rudely, demanding information, encouraging high school students to drop out of school; sometimes does not appear at recruiting presentations for which he/she is scheduled.
- Presents negative image of the Navy by doing things like driving while intoxicated or speeding and drinking impatiently at other drivers; may express dislike for the Navy or re-recruiting.

F. PROVIDING KNOWLEDGEABLE AND ACCURATE INFORMATION ABOUT THE NAVY

Displaying considerable knowledge about Navy programs, schools, educational opportunities, etc.; providing accurate information about Navy life; being up to date on Recruiting Manual changes and on other directives pertaining to program or school changes, eligibility for programs, etc.; skillfully relaying information about boot camp so that prospect/recruit is informed about what to expect but is not discouraged from joining the Navy; answering questions about the Navy in a competent manner.

9 or 10

Extremely Effective Performance

- Is consistently accurate and honest in describing Navy life; thoroughly prepares recruits for boot camp and Navy life.
- Consistently provides accurate information about Navy rates, education, etc.; when uncertain, immediately obtains the correct information; provides detailed and complete information when appropriate and when asked.
- Studies and learns as much Navy information as possible without decreasing recruiting time.

6, 7, or 8

Effective Performance

- Keeps current on the basics of all Navy programs and rates.
- Prepares applicants for recruitment process; when appropriate, describes parts of boot camp and Navy life to recruits.
- Competently answers most questions prospects and recruits ask.

3, 4, or 5

Marginal Performance

- Mentions specific aspects of boot camp, rates, programs, benefits, and life in the Navy, but descriptions are often incomplete.
- Sometimes provides inaccurate information about rates, programs, boot camp, etc.
- Is not well informed or knowledgeable about many programs, rates, and benefits of the Navy.

1 or 2

Ineffective Performance

- Frequently fails to prepare recruits for life in the Navy; fails to describe boot camp; describes aspects of the Navy, boot camp, etc.
- Spends little time in learning about Navy programs, rates, etc., and so is unable to describe many programs.
- Often provides inaccurate information, thus causing recruits to make poor decisions.

7
0

6. ADMINISTRATIVE SKILLS

Planning ahead; organizing time efficiently; completing paperwork accurately and on time; keeping track of appointments; not wasting time.

9 or 10

Extremely Effective Performance

- Maintains a complete and accurate calendar of relevant community, school, and Navy events and holidays; schedules meetings, interviews, physicals, etc., wisely in order to use own and others' time most efficiently.
- Finishes all paperwork accurately and on time; for example, when going on leave, all paperwork is complete prior to departing.
- Devises monthly, weekly, and daily plans, and follows them in order to achieve own and district goals; when changes in daily schedule occur, completes other necessary tasks.

6, 7, or 8

Effective Performance

- Completes paperwork on time and with few errors; may collect information by phone to complete paperwork on time.
- Keeps a record of appointments and applicant physicals.
- Generally uses time efficiently; does paperwork at times when not likely to meet prospects; on out-of-town calls, often meets with others along the way.

3, 4, or 5

Marginal Performance

- Completes paperwork either just barely in time, or not on time; errors in paperwork are common; some forms are not sent in again, delaying enlistment process.
- Falls to use dead time wisely; for example, might spend an undue amount of time providing prospects and applicants with transportation.
- Tends to schedule appointments, physicals, etc. without considering other events.

1 or 2

Ineffective Performance

- Uses wrong forms; forms invariably contain errors; consistently forgets to complete all the necessary
- Does not maintain a record of appointments, and so may schedule two at the same time, or schedule appointments too closely together, misses appointments.
- Does not know what to do with time, needs to be told what to do.

N. SUPPORTING OTHER RECRUITERS AND THE COMMAND

Coordinating activities with other recruiters to maximize the productivity of the station and district; using own skills and/or time to support other Navy recruiters when appropriate; pitching in to support orders and directives from higher levels; providing constructive feedback to other Navy recruiters concerning their skills, style, etc.; providing helpful tips to new recruiters.

9 or 10

Extremely Effective Performance

- Always shares information such as legal shortcuts or important contacts which can increase zone production or lessen technical red tape.

- Is always enthusiastic and works to build group spirit when other recruiters are down; enhances the team spirit even when he/she has personal problem; very seldom complains.

- Consistently works with others to improve selling and interviewing skills; provides valuable feedback to other recruiters; is always concerned about other recruiters' personal and professional difficulties and always helps them if possible.

6, 7, or 8

Effective Performance

- Occasionally works with other recruiters to improve their interviewing or selling techniques; shares with other recruiters prospects that he/she has attracted.

- Helps other recruiters with paperwork; answers their phone when they are out; may get transcripts or parental consent for other recruiters.

- Places station and district quotas above personal quotas; for example, will encourage prospects to sign up during current month if station needs more enlistments, rather than having prospects wait until the next month when he/she personally needs more.

3, 4, or 5

Marginal Performance

- Does not assist another recruiter when help is needed; gives ambiguous responses to other recruiters' questions; does not help new recruiters learn their job.

- Complains about production quotas or having to work extra time to get a recruit ready to ship.

- Occasionally gives negative feedback to other recruiters, even when it isn't warranted; does not provide feedback to other recruiters when it is needed or they want it.

1 or 2

Ineffective Performance

- Is very temperamental and cannot get along with other recruiters; may inappropriately interrupt other recruiters' interviews.

- Interferes with the group effort by not answering the phone, neglecting to give messages to persons for whom intended, not communicating and coordinating schedule with others.

- Is quick to take personal credit when station achieves goals and quick to blame others when the station does not; lets others carry the recruiting load.

APPENDIX E

Military Development Evaluation & Counseling Form

This set of BARS is presently under study by the Department of Behavioral Sciences and Leadership, U.S. Military Academy, West Point, New York. They were provided to the author by Major Louis S. Csoka, a member of the department. Major Csoka is participating in the BARS development. The interesting aspect of this set of BARS is that it is intended to be used, in part, by peers.

MILITARY DEVELOPMENT EVALUATION AND COUNSELING FORM

RATED CADET

PART 1 - INSTRUCTIONS: For each of the six Cadet Performance Criteria (CPC) in Part 2, carefully read the descriptions of cadet performance that are listed below the CPC. Based upon your observations of the actual performance (behavior) of this cadet, select the one behavioral statement from each of the three blocks, that best describes the level of performance that could be expected from this cadet based on past performance.

PART 2 - EVALUATIONS OF PERFORMANCE WITHIN EACH CADET PERFORMANCE CRITERION

1. **TASK STRUCTURING AND MANAGEMENT:** A cadet is expected to provide the structure and direction for proper task accomplishment by specifying rules and policies, informing subordinates of their duties and responsibilities, communicating expectations to subordinates, and directing and monitoring work efforts.

CIRCLE ONE IN EACH OF THE THREE BLOCKS BELOW

- 1--Could be expected to actively involve and interest subordinates in their tasks.
 3--Could be expected to check on others to be sure that the job is done correctly.
 5--Could be expected to fail to supervise subordinates.
 7--Could be expected to decline requirements by explaining exactly what is wanted.
 9--Could be expected to assign jobs with deadlines that provide sufficient time for satisfactory completion.
 11--Could be expected to issue unclear, non-concise orders and/or guidance.
 13--Could be expected to use time effectively by properly planning and coordinating all tasks.
 15--Could be expected to barely have detail in planning.
 17--Could be expected to be unorganized.

2. **INTERPERSONAL RELATIONS:** A cadet is expected to be supportive, amiable, considerate, open and fair to others, help others resolve conflicts/disagreements, and possess effective and persuasive communication skills.

- 1--Could be expected to show genuine interest and concern in other peoples' activities.
 3--Could be expected to avoid offending others through personal hygiene by showering, brushing teeth, using deodorant, etc. as required.
 5--Could be expected to lack consideration in daily affairs.
 7--Could be expected to know names of other cadets in company and address them by name when speaking.
 9--Could be expected to try to get along with everyone.
 11--Could be expected to never offer a friendly greeting.
 13--Could be expected to listen and respond to others.
 15--Could be expected to be encouraging/helpful in talking with others.
 17--Could be expected to belittle and belabor those with differing opinions.

2. COMPLIANCE WITH ORGANIZATIONAL EXPECTATIONS A cadet is expected to demonstrate support for lawful orders, policies, and expectations, and to meet or surpass established standards of personal appearance, conduct, and equipment maintenance.

- 1---Could be expected to set the example in personal appearance.
- 2---Could be expected to maintain good appearance even when sure there will not be an inspection.
- 3---Could be expected to lack good decorum when not being observed by superiors.
- 4---Could be expected to comply with regulations despite peer pressure to do the opposite.
- 5---Could be expected to willingly accept and follow stated and expected procedures.
- 6---Could be expected to fail to follow orders.
- 7---Could be expected to express and manifest respect for superiors.
- 8---Could be expected to support fully and in a positive manner, a decision once it is made.
- 9---Could be expected to place own interests above those of the organization.

3. INTELLECTUAL APPLICATION AND GROWTH A cadet is expected to strive for intellectual development, to demonstrate intellectual confidence, foresight, and ability to grasp and think through problems without detailed guidance; to produce innovative solutions to problems.

- 1---Could be expected to demonstrate ability to connect application and theory.
- 2---Could be expected to utilize instructors' expertise and seek help when needed.
- 3---Could be expected to fail to seek additional help when needed.
- 4---Could be expected to strive for mastery of the subject.
- 5---Could be expected to read, ask questions, and use own initiative to be aware.
- 6---Could be expected to continuously ask for help with homework without first trying.
- 7---Could be expected to improve academic performance over previous year/semester.
- 8---Could be expected to approach assignment as learning experience to be shared with others.
- 9---Could be expected to memorize without attempting understanding.

<p>5. PERSONAL AND PROFESSIONAL ETHICAL BEHAVIOR: A leader is expected to accept and acknowledge full responsibility for his or her own actions, to be above-board, open, and accurate in all actions, and not to take advantage of his or her position of authority.</p>	
<p>1-<input type="checkbox"/> Could be expected to accept responsibility for things that go wrong.</p> <p>2-<input type="checkbox"/> Could be expected to not take advantage of rank or position.</p> <p>3-<input type="checkbox"/> Could be expected to use position or rank as excuse and threat for eliciting other's actions.</p>	
<p>4-<input type="checkbox"/> Could be expected to maintain high moral standards and serve as a good example to others.</p> <p>5-<input type="checkbox"/> Could be expected to insure correctness of reports, etc. before signing or attesting to the fact that actions have been performed.</p> <p>6-<input type="checkbox"/> Could be expected to be truthful.</p>	
<p>7-<input type="checkbox"/> Could be expected to accept criticism and attempt to make improvement from it.</p> <p>8-<input type="checkbox"/> Could be expected to acknowledge and accept responsibility for own shortcomings.</p> <p>9-<input type="checkbox"/> Could be expected to fail to admit errors and shortcomings and to cover them up.</p>	
<p>6. PERFORMANCE ORIENTED DEVELOPMENT: A leader is expected to emphasize the importance, quality, and efficiency of performance in others, both subordinates and peers, in establishing performance priorities and in recognizing and providing adequate skill training and learning assistance.</p>	
<p>1-<input type="checkbox"/> Could be expected to demonstrate the performance expected of subordinates.</p> <p>2-<input type="checkbox"/> Could be expected to conduct follow-up training and education.</p> <p>3-<input type="checkbox"/> Could be expected to never attempt to educate and/or train others in the accomplishment of assigned tasks.</p>	
<p>4-<input type="checkbox"/> Could be expected to freely accept help and learn assistance in a professional manner.</p> <p>5-<input type="checkbox"/> Could be expected to accept the honest mistakes of others in order to support their learning process.</p> <p>6-<input type="checkbox"/> Could be expected to never tell subordinates when saying "yes" I like something.</p>	
<p>7-<input type="checkbox"/> Could be expected to create an environment in which good performance is expected, superior performance is recognized, and inferior performance is not tolerated.</p> <p>8-<input type="checkbox"/> Could be expected to explain the job thoroughly before assigning specific individual tasks.</p> <p>9-<input type="checkbox"/> Could be expected to fail to correct poor performance.</p>	
<p>RATER'S INITIALS _____ DATE COUNSELLED ON THIS RATING _____</p>	
<p>PRINTED NAME & GRADE/CLASS OF RATER _____ SIGNATURE OF RATER _____</p>	

PART 3
MILITARY DEVELOPMENT AND COUNSELING FORM - COMMENT SECTION

RATED CADET'S NAME (Last, First, MI)	RATED CADET'S CLASS	COMPANY	
		SUMMER	JAY

4. SUMMER OR JAY Circle the three (3) letters selected in each area in Part 1.

- | | |
|--|---|
| A. TASK STRUCTURING AND MANAGEMENT A B C D E F G H I | D. INTELLECTUAL APPLICATION & GROWTH A B C D E F G H I |
| B. INTERPERSONAL RELATIONS A B C D E F G H I | E. PERSONAL & PROFESSIONAL ETHICAL BEHAVIOR A B C D E F G H I |
| C. COMPLIANCE WITH ORGANIZATIONAL EXPECTATIONS A B C D E F G H I | F. PERFORMANCE ORIENTED DEVELOPMENT A B C D E F G H I |

5. PURPOSE: The Comment Section of this form is to provide specific collective feedback to the rated cadet which will assist to identify strengths and in improving areas needing extra development.

6. INSTRUCTIONS:

- (1) For each comment, list the Cadet Performance Criterion (CPC) to which it applies. (The CPC are listed in Part 1)
- (2) As a minimum comment on the area in which the cadet needs the most development. List specific behaviors that need to be changed/improved. You are also encouraged to comment on strengths.
- (3) List recommendations that will help the cadet improve.

D. COMMENTS:

1. Strengths:

2. Behaviors needing to be improved:

3. Recommendations/Other Comments:

8. RATING COMPONENT (Check One): TAC ☐ COC ☐ CADET ☐ OTHER ☐ F. DATE

APPENDIX F

Marine Recruiter Behaviorally Anchored Rating Scales

This appendix is extracted from the author's earlier efforts in the study of BARS, a paper titled "A Systems Approach to Mission Accomplishment Through Recruiter Motivation." It describes the author's original reasons for pursuing the BARS concept, and more importantly, it provides the set of BARS developed for the Marine recruiters at USMC Recruiting Station, Long Island. This appendix also constitutes an objective lesson why an organization developing BARS is well advised to seek professional assistance. At the time, the only reference used by the author was the brief section describing BARS in Wendell L. French's textbook, The Personnel Management Process. As a consequence, the author was ignorant of the Smith and Kendall procedure, did not fully appreciate the distinctions between behavior, performance, effectiveness, and results, and ended up with a mixture of apples and oranges. As the reader will see, several of the scales are essentially behavioral, but more of them tend to be effectiveness-related and results-oriented. Unwittingly, perhaps, they represent a combination of the BARS/MBO combination recommended by Kearney and by Schneier and Beatty.

Chapter I

INTRODUCTION

Prologue

Brigadier General Alexander P. MacMillan, Director of Personnel Procurement, and as such, senior Marine in the Recruiting Service, recently addressed a class at the Recruiting Management Course concerning the vagaries and vicissitudes of recruiting duty. The general opened his remarks by stating, "Fate is what ordered you to recruiting duty—Destiny is what you do while you are here." The comment struck home with unerring accuracy. Recruiting duty in recent years has become a risky undertaking. Annually approximately sixteen Marine majors are called to labor for three years in the Commandant's recruiting vineyard. Not all sixteen emerge three years later. Some leave prematurely. Recruiting duty, more than any other assignment presently available, is "fraught with danger," to quote a fellow recruiting officer.

Writing several years ago and obviously on another topic, the French philosopher, Jean Paul Sartre, described to stark perfection the situation of the recruiting officer:

Man can will nothing unless he has first understood that he must count on no one but himself; that he is alone, abandoned on earth in the midst of his infinite responsibilities, without help, with no other aim than the one he sets for himself, with no other destiny than the one he forges for himself on this earth. (underlining added)

Sartre's appraisal of the human condition applies even more perfectly to the Marine sergeant tending the grapes in a recruiting substation. The art of the recruiting officer, then, is to lead the recruiter to truly

2

understand and act upon the forces which influence his performance. For the destiny of the two are inseparably entwined.

The idea of one's recruiting destiny provided the impetus to synthesize and develop four procedures already being performed by recruiting officers into a cohesive, sequential whole. Possibly nothing described in the following pages is new to the reader. On the other hand, the four procedures, described as a whole, may provide the key to the improvement of the reader's recruiting success, and thereby, his destiny.

Recent Problems

Several weeks prior to attending the Recruiting Management Course, I had completed the sergeants' semi-annual fitness reports and subsequent counseling. It had been a frustrating experience. I had finally been honest with myself and admitted that I had not done a particularly good job of counseling the sergeants. It had been easy enough to discuss my marks with the high performers. All their marks were good. They knew their performance had been outstanding. The counseling simply reinforced their already good opinion of themselves. Nothing is wrong with that. But that described only three of ten sergeants. With the other seven I had difficulty getting down to specifics. Even with the three outstanding sergeants the counseling stopped short of examining their untapped potential and identifying new areas for self-improvement. Conversations with other recruiting officers led me to believe that I was not alone in being less than proficient in performance counseling. Interestingly, business and personnel management periodicals are replete with articles on the subject. The articles suggest the deficiency appears to stem from three attitudes on the part of managers: one is the reluctance to "play God,"² a second is the "unwillingness to engage in a potentially explosive or emotionally disturbing situation,"³ and the third is the fear that the employee, in this case, recruiter, will give up if his ego is damaged by his senior's evaluation.⁴

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Failure to effectively counsel and coach each recruiter becomes, as Robert C. McCoy described it, "a weakness that is extremely costly to any organization." ⁵ The costliness results from failing to obtain the best level of effort from each recruiter. The recruiter will give his best effort only if he is motivated to do so. Part of my purpose is to establish that counseling and coaching is unquestionably the best means of motivating a Marine to surpass his present level of effort, proficiency, and attainment.

The central and unavoidable reality of recruiting duty is that each recruiter's level of attainment, meaning new accessions, and level of effort, meaning prospecting activity, are precisely quantifiable. This ability to quantify attainment and effort, provided by "Systematic Recruiting," constitutes the datum from which much of the counseling and coaching can and should depart. And to which, having set realistic goals, objectives, and targets, it can return. To ignore each recruiter's effort, proficiency, and attainment, when counseling and coaching, is analogous to omitting a fire support plan when preparing an operations order. Not being able to measure and interpret a recruiter's proficiency and effort is like beginning the Operations Order without having performed an Estimate of the Situation.

Concurrent with being dissatisfied with my counseling of the sergeants, I was becoming increasingly convinced that the recruiting station's assigned Total Force Shipping Mission for FY-79 was, in proportional shares, as much the responsibility of each sergeant as it was mine. After all, if one accepts the Commandant's wage one does the Commandant's work. But the fact remained that I had not, at the previous counseling session, assigned each sergeant individually his fair share of the annual mission. How then, was he to know specifically what was expected of him?

As I thought about it, and recalling exposure to Management-by-Objectives⁵ theory which I have had, my not assigning specific individual fair shares seemed ridiculously short-sighted.

Further, there was the awareness that the Total Force Shipping Mission for the coming year was to be 15% higher than it had been in FY-78. During FY-78 the effort by each of the recruiters had been, in the aggregate, sufficient to exceed the assigned mission. But would the same number of enlisted accessions be sufficient in the coming year in light of the increased Total Force Shipping Mission? I did not know. I had not analyzed the mission with respect to the recruiting station's capabilities. And suppose repeating last year's total effort would not be enough to accomplish this year's mission? How could the recruiters be motivated to surpass last year's efforts? Clearly the time was over-due to perform a comprehensive appraisal of the external and internal recruiting environment. In short, it was time to go back to the Estimate of the Situation.

Behaviorally Anchored Rating Scales

Behaviorally Anchored Rating Scales "...reduce the amount of judgment or subjectivity required by the rater, and as Schwab and Heneman state it, '(t)he evaluator is cast more in the role of an observer and less in the role of a judge.'"¹⁷ BARS identify the critical areas of a job, and describe more effective and less effective job behavior in getting results. The question remains, however, what are the fundamental tasks which collectively sum up the duties of a recruiter? Having referred to the Military Occupation Specialty Manual, the Program of Instruction for Recruiters School, and Guidebook for Recruiters, Volume I, no thread of agreement is apparent. Local consensus, however, focuses on the following fundamental tasks:

- Task ONE - Appearance and Fitness
- Task TWO - Utilization of Time
- Task THREE - Prospecting Activities
- Task FOUR - Salesmanship
- Task FIVE - Data Collection, Analysis, and Objective Setting
- Task SIX - Preparation of Documents and Applicants for AFES
- Task SEVEN - High School Program
- Task EIGHT - Telephone Canvassing
- Task NINE - Pooler and Referral Program
- Task TEN - Administration and Logistics

The ten tasks concentrate on work performance and not on traits such as "initiative," "cooperation," etc. BARS for each of the tasks are depicted in Appendixes A through J inclusive.¹⁸ Notice also that none of

Table 4. Task FIVE: Data Collection, Analysis, & Objectives Setting

Outstanding	Has perfect knowledge and understanding of all definitions. Captures all data on prospecting activities. Annotates all cards and lists completely. Carries forward daily tallies. Records results of all appointments and interviews on PC cards and in Schedule and Results Book. Accurately sums up and analyzes data. Unfailingly sets realistic objectives and attains total monthly prospecting objectives.
Excellent	Rarely misinterprets definitions. Collects and correctly analyzes at least 93% of the above items.
Above Average	Occasionally errs in applying definitions. Collects and correctly analyzes at least 80% of above items. Understands philosophy but does not organize himself well enough to perform task more completely. Has difficulty reconstructing his activity for the month by reviewing lists and working file.
Average	Makes frequent errors in applying definitions. Collects and correctly analyzes at least 75% of prospecting objectives for coming month based upon not having proper data.
Below Average	Collects and analyzes less than 75% of prospecting objectives. Records very little data. Cannot substantiate amounts of activity when Schedule and Results Book audited against working file and list folders.

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the tasks describe numbers of accessions or new contracts. The reason is related to the earlier comment that the recruiter controls less than forty percent of his environment. The crux of the matter is that although the recruiter influences, through the sum of his skills and efforts, whether or not an applicant will enlist, ultimately, he does not control the applicant's final decision. And therefore, it is less than fair to judge him solely on his number of accessions and new contracts. The recruiter does control, however, the degree to which he can achieve proficiency in the ten tasks described.

A fair question is: suppose a line recruiter is judged to be excellent or outstanding in each task but has attained only an average or below average productivity - how should he be rated on his fitness report? The answer: excellent or outstanding. Obviously he has done everything possible as a recruiter. Some people are simply unlucky. Clearly he should be evaluated under the "whole Marine" concept. The point is that sufficient empirical evidence exists to categorically assert that the Marine who is excellent to outstanding in the ten tasks will ALMOST NEVER have a level of productivity below his station's average. It simply flies in the face of reason.

Now consider a BARS of Task FIVE. Notice Table 4 opposite this page. While the percentages used in the examples are a matter of opinion, the BARS format facilitates identifying specific job behavior. In fact, the recruiter himself would probably select the same description of his activity as would his superior. In using the BARS, it is imperative that the recruiting officer be technically proficient in the concepts and application of "Systematic Recruiting". Inherent in using the scale is

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identifying a recruiter's present level of attainment and influencing him to attain a level of performance and skill commensurate with the next higher description. In so doing, the recruiter is coached in the behavior necessary to improve himself in that particular task area.

The ten BARS which comprise Appendixes A through J are far from perfect. A careful examination of each will reveal a myriad of apparent inconsistencies, oversights, parochial determinations, and overlapping descriptions. Even in this first generation format, however, the Recruiter BARS are very useful.

Referring again to Task FIVE, "Data Collection, Analysis, and Objective Setting," careful study of a recruiter's Scheduling and Results Book and a coaching session with him may determine that he has a perfect knowledge of all definitions and keeps a flawless book, but has difficulty analyzing data and tends to set unrealistic objectives. This describes a combination of "outstanding" and "average." The question is: how do you describe his performance relative to Task FIVE? Outstanding? Average? Possibly excellent? For an initial evaluation any of the three will do. The important idea is that weaknesses which are able to be improved have been clearly identified. When the weaknesses are corrected, the evaluation of his performance or skill will move up to a higher level description. And as the dead Prussian observed, the recruiter's luck in terms of new contracts should improve to the same degree he has enhanced his own efficiency and effectiveness.

Use of the BARS, even in this rudimentary form, is nicely suited to performance coaching and objectives setting. At present, the BARS should not and indeed, cannot, replace the fitness report. Use of the Recruiter

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BARS, however, appears to be immeasurably more useful and valid than attempting to convert his observed behavior into markings under "attention him to duty," "cooperation," "initiative," or "economy of management." The level of attainment of task number 5 appears to be related to each of the foregoing traits. But in what proportion to each? The possibility exists that a proportional or weighted relationship could be determined between the levels of attainment on the ten BARS describing the fundamental recruiter tasks and the individual traits on the fitness report. This would have to be done by experts to avoid obvious validity problems. Finally, the possibility exists that the commanding officer could informally establish his own relationship between the ten BARS and the fitness report. Although the same validity problem exists, it appears to be no less serious than that associated with the present form of the fitness report.

In summary,

BARS provide data on behavior, not the person. Thus, feedback does not challenge the individual as a person and, therefore, causes less defensiveness. Moreover... information is in a form that most closely meets the rules for giving effective feedback:

- it is specific rather than general
- it is descriptive rather than evaluative
- it concentrates on behavior that can be changed
- it avoids the "why" of behavior
- it is capable of validation by the receiver
- it is timely.

APPENDIX A. Task ONE: Appearance and Fitness

Outstanding	Consistently wears an immaculate uniform to include crisp creases, properly shined and dyed shoes, flawless placement of chevrons, service stripes, ribbons, and badges. Uniform always serviceable and correctly fitting. Impeccable personal grooming. Maintains a trim military appearance with less than 10% body fat. Achieves 1st class on PFT. Office and vehicle always immaculate.
Excellent	Varies from foregoing only by degree. On rare occasion presents an appearance which warrants correction or comment. Maintains a trim military appearance with 13% or less body fat. Achieves 2nd class on PFT. Office and vehicle almost always immaculate.
Above Average	Generally presents a neat appearance. Uniform may need correcting on small details. Sometimes wears uniform without freshening creases. Maintains a military appearance relative to weight distribution. 16% or less body fat. Achieves 2nd Class on PFT. Office normally neat. Vehicle occasionally not cleaned within one day of bad weather.
Average	Presents a consistently adequate military appearance. Normally could put more effort into appearance. Minor correction could be made one day of every two. If huskily built, has trouble keeping fleshy pressure off that portion of his shirt immediately above his belt line. 19% or less body fat. Passes PFT. Office presents a consistently "lived-in" look. Vehicle occasionally not cleaned for several days after bad weather.
Below Average	Consistently careless about his appearance: soles not dressed, creases well-aged, longish hair, soiled ribbons, high water trousers, sausage-like appearance when wearing overcoat, etc. 23% or less body fat. Fails PFT. Office consistently below reasonable standards. Untidy and poorly organized. Tends to drive a dirty vehicle one out of every two fair weather days.
Unsatisfactory	Totally un-Marine like appearance. Consistently careless about his appearance in large and small details. Slow to respond to correction. More than 23% body fat. Fails PFT. Office consistently below reasonable standards and no apparent effort made to make corrections. Vehicle almost always unacceptable in appearance.

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USE OF BEHAVIORALLY ANCHORED RATING SCALES (BARS) TO COMPLEMENT--ETC(U)
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APPENDIX B. Task TWO: Utilization of Time

Outstanding	Consistently spends total monthly time as follows: 60% productive time, 30% support time, and 10% unproductive time. Consolidates trips into RSS's area to accomplish multi-purpose mission. Prospects proper market for the time of day and year. Seldom wastes time; accomplishes 70% of prospecting objectives in first ten working days of month.
Excellent	Spends total monthly time as follows: 50% productive time, 30% support time and 20% unproductive time. Consolidates trips into RSS's area to accomplish multi-purpose missions. Prospects proper market for the time of day and year. Wastes not more than 45 minutes a day. Accomplishes 60% of prospecting objectives in first ten working days of month.
Above Average	Spends total monthly time as follows: 45% productive time, 35% support time, and 20% unproductive time. Consolidates some trips into the RSS's area to accomplish multi purpose mission. Prospecting plan not closely tied to proper market for time of day and year. Wastes not more than one hour and fifteen minutes per day.
Average	Spends total monthly time as follows: 35% productive time, 40% support time, and 25% non-productive time. Consolidates very few trips into RSS's area to accomplish multi-purpose missions. Lacks an organized approach to market available at the particular time of day and year. Wastes not more than one hour and forty-five minutes per day.
Below Average	Spends total monthly time as follows: 25% productive time, 35% support time, and 30% unproductive time. Almost all trips into area for single purpose missions. No rhyme or reason to selection of market being prospected. Wastes up to two and a half hours a day.
Unsatisfactory	Activity less purposeful than that described in "below average."

APPENDIX C. Task THREE: Prospecting Activities*

Outstanding	Consistently attains a minimum of 120% of all prospecting objectives, and at least 110% of interview objectives.
Excellent	Attains a minimum of 110% of all prospecting objectives, and at least 100% of interview objectives.
Above Average	Attains a minimum of 100% of all prospecting objectives, and at least 94% of interview objectives.
Average	Attains a minimum of 90% of all prospecting objectives, and at least 85% of interview objectives.
Below Average	Attains a minimum of 80% of all prospecting objectives, and at least 75% of interview objectives.
Unsatisfactory	Fails to attain at least 80% of all prospecting objectives, and at least 75% of interview objectives.

*The only means to determine attainment of prospecting objectives is by a detailed audit of PC/PPC/RE Cards, list contact sheets, Scheduling and Results Book, etc.

APPENDIX D. Task FOUR: Salesmanship

Outstanding	Practices Professional Selling Skills at ALL times. Thorough understanding of and ability to implement "need satisfaction selling", "handling customer attitudes," and "making general benefit statements." Inherent in the foregoing is the perceptive use of probing, supporting, and closing techniques and the adroit handling of customer attitudes such as acceptance, skepticism, indifference, and objection. Accomplishes screening with tact and efficiency. Quickly senses buying signals and pushes toward appropriate comment. Uses benefit tags to uncover undisclosed needs. In the process of uncovering needs, listens twice as much as he talks. NEVER "sprays and prays" or gives his "standard sales pitch." Exhibits an unusually wide range of product knowledge. ALWAYS in the applicants "95%."
Excellent	Differs from the foregoing only in degree. Sometimes fails to practice Professional Selling Skills as described above. Occasionally passes up opportunity to use benefit tags. Sometimes sprays and prays.
Above Average	Uses Professional Selling Skills in a mechanical manner. Does not completely execute techniques; e.g. in making a supporting statement, will agree with the customer need but forgets to introduce an appropriate benefit; or in handling skepticism, restates the benefit, offers proof, but neglects to expand the benefit. Occasionally launches into his "standard sales pitch" before uncovering the prospects needs. Rarely uses benefit tags. Awkward handling of objections. Level of product knowledge limited to his personal experiences, and to classes at Recruiters School. Sometimes fails to complete preliminary screening. Forgets sometimes to project himself into the applicant's "95%." Waits too long to close.
Average	Structured use of Professional Selling Skills limited to closed probes, half supporting statements, and closes which omit the summarization of benefits accepted. General inability to sense customer attitudes and handle them successfully. Almost never uses benefit tags. Product knowledge limited to his personal experiences. Tends to dominate the interview with his "standard sales pitch" which is earmarked by a "spray and pray" approach to need satisfaction selling. Generally fails to complete preliminary screening. Must be reminded frequently to project himself into the applicant's 95%. Misses buying signals; reluctant to close.

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Below Average The classic "standard sales pitch" predominates. "Sprays and prays" from the moment his attempt at preliminary screening is completed. Almost never projects himself into applicant's 95%. Applicant tends to sit through presentation with a glassy expression on his face. Tends to never attempt to close.

Unsatisfactory Does not effectively screen. Does not uncover needs. Gives only a "standard sales pitch." Camped out in his own 95%. Closes only with the help of other recruiters.

APPENDIX E. Task FIVE: Data Collection, Analysis, & Objectives Setting

Outstanding	Has perfect knowledge and understanding of all definitions. Captures all data on prospecting activities. Annotates all cards and lists completely. Carries forward daily tallies. Records results of all appointments and interviews on PC cards and in Schedule and Results Book. Accurately sums up and analyzes data. Unfailingly sets realistic objectives and attains total monthly prospecting objectives.
Excellent	Rarely misinterprets definitions. Collects and correctly analyzes at least 93% of the above items.
Above Average	Occasionally errs in applying definitions. Collects and correctly analyzes at least 80% of above items. Understands philosophy but does not organize himself well enough to perform task more completely. Has difficulty reconstructing his activity for the month by reviewing lists and working file.
Average	Makes frequent errors in applying definitions. Collects and correctly analyzes at least 75% of prospecting objectives for coming month. Sets erroneous objectives because of poor data collection.
Below Average	Collects and analyzes less than 75% of prospecting objectives. Records very little data. Cannot substantiate amounts of activity when Schedule and Results Book audited against working file and list folders. Objectives tend to be set intuitively.
Unsatisfactory	Results which are less than those described under "Below Average."

APPENDIX F. Task SIX: Preparation of Documents and Applicants for Enlistment

Outstanding	<p>All applicants fully qualified for the program for which being enlisted (contingent upon results of physical). All potentially disqualifying factors (mental, moral, medical, administrative) annotated on RS screening form in all cases sent to AFES. No make-up work other than diplomas for applicants enlisted as seniors or acceptable educational addendums due to school being closed in all cases. "Recruiter-Applicant Pre-AFES Checklist" properly completed in all cases. All applicants completely briefed, and punctual. Return home ticket/token provided in all cases. All required enlistment forms provided in all cases. All required verification documents from family, school, etc. accounted for (meaning that reasonable exceptions determined on a case-by-case basis; e.g. expediency: such as single parent consent in which the divorce decree is locked in safe-deposit box, mother unable to get to bank, applicants must be enlisted on full processing Saturday) in all cases sent to AFES. Such exceptions given only persons enlisting for Delayed Enlistment Program. No instances of conflicting, erroneous, incomplete or incorrect information on the following enlistment forms: DD 1966, DD 1584, DD 369, or MEPCOM 714 in any cases sent to AFES.</p>
Excellent	<p>All applicants fully qualified for the program for which being enlisted (contingent upon results of physical). All potentially disqualifying factors (mental, moral, medical, administrative) annotated on RS screening form in all cases sent to AFES. No make-up work other than diplomas for applicants enlisted as seniors or acceptable educational addendums due to school being closed in nine of ten cases. "Recruiter-Applicant Pre-AFES Checklist" properly completed: nine of ten cases. Completely briefed, punctual, and return home ticket/token provided to applicant in all cases sent to AFES. All required enlistment forms present in all cases sent to AFES. All required verification documents from family, school, etc. accounted for (meaning that reasonable exceptions determined on a case-by-case basis; e.g., expediency: such as single parent consent in which the divorce decree is locked in safe-deposit box, mother unable to get to bank, applicant must be enlisted on full processing Saturday) in all cases sent to AFES. No instances of conflicting, erroneous, incomplete or incorrect information on the following enlistment forms: DD 1966, DD 1584, DD 369, or MEPCOM 714 in seven of eight cases.</p>
Above Average	<p>All applicants fully qualified for the program for which being enlisted (contingent upon physical). All potentially</p>

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disqualifying factors (mental, moral, medical, administrative) annotated on RS screening form in nine of ten cases sent to AFES. No make-up work other than diplomas for applicants enlisted as seniors or acceptable educational addendums due to school being closed in eight of ten cases. "Recruiter-Applicant Pre-AFES Checklist" properly completed in eight of ten cases. Completely briefed, punctual, and return home ticket/token provided to applicant in all cases sent to AFES. All required enlistment forms present in nine of ten cases. All required verification documents from family school, etc., accounted for (meaning that reasonable exceptions determined on a case-by-case basis; e.g., expediency: such as single parent consent in which the divorce decree is locked in safe-deposit box, mother unable to get to bank, applicant must be enlisted on full processing Saturday), in nine of ten cases sent to AFES. Instances of conflicting, erroneous, incomplete or incorrect information on the following enlistment forms: DD 1966, DD 1584, DD 369, or MEPCOM 714 in six of eight cases.

Average

Nine of ten applicants fully qualified for the program for which being enlisted (contingent upon physical). This means that one of the ten would have constituted an erroneous enlistment. All potentially disqualifying factors (mental, moral, medical, administrative) annotated on RS screening forms in eight of ten cases sent to AFES. No make-up work other than diplomas for applicants enlisted as seniors or acceptable educational addendums due to school being closed in seven of ten cases. "Recruiter-Applicant Pre-AFES Checklist" properly completed: seven of ten cases. Completely briefed, punctual, and return home ticket/token provided to applicant in nine of ten cases. All required enlistment forms present in eight of ten cases. All required verification documents from family, school, etc., accounted for (meaning that reasonable exceptions determined on a case-by-case basis; e.g., expediency: such as single parent consent in which the divorce decree is locked in safe-deposit box; mother unable to get to bank, applicant must be enlisted on full processing Saturday) in eight of ten cases. Instances of conflicting, erroneous, incomplete or incorrect information on the following enlistment forms: DD 1966, DD 1584, DD 369, or MEPCOM 714 in five of eight cases.

Below Average

Eight of ten applicants fully qualified for the program for which being enlisted (contingent upon physical). All potentially disqualifying factors (mental, moral, medical, administrative) annotated on RS screening form in seven of ten cases sent to AFES. No make-up work other than diplomas for applicants enlisted as seniors or acceptable educational addendums due to school being closed in six

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educational addendums due to school being closed in six of ten cases. "Recruiter-Applicant Pre-AFES Checklist" properly completed in six of ten cases. Completely briefed, punctual, and return home ticket/token provided to applicant in eight of ten cases. All required enlistment forms present in seven of ten cases. All required verification from family, school, etc., accounted for in seven of ten cases. Instances of conflicting, erroneous, incomplete or incorrect information on the following enlistment forms: DD 1966, DD 1584, DD 369, or NEPCOM 714 in four of eight cases.

Unsatisfactory Discrepancies in any of the foregoing categories numbering more than the number listed in "below average."

APPENDIX G. Task SEVEN: High School Program

Outstanding	Whether NCOIC or Line Recruiter, conducts program in spirit intended in "Guidebook for Recruiters, Vol I". All high school related "Systematic Recruiting" forms kept completely up-to-date and completely filled out. Conscientiously follows established time tables for submission "HS Program Master Sheet", "High School Program Update Sheet", attainment of keymen in each school, etc. Establishes very cordial relations in each school to the extent humanly possible given the community's prevailing politics. Either visits each high school twice a month or makes no less than four high school visits per week. Coordinates all telephone canvassing with planned high school visits, calling high school list for three days prior to a school visit. Coordinates details of visit with keyman and poolies at high school prior to making visit. Completes High School Visit card after visit. Administrative call to a high school to pick a certification of education or to proctor an institutional ASVAB does not constitute a high school visit.
Excellent	Varies from the foregoing description only in degree. Occasionally does not coordinate calling a high school list prior to visiting the high school. Occasionally does not coordinate with a keyman or poolies from a high school to be visited.
Above Average	Purposefully visits at least four high schools and/or student gathering places near the high school per week. Tends to be haphazard about maintenance of "Systematic Recruiting" required forms and reports. Has established cordial relations in all schools amenable to such a relationship. Normally does not call appropriate lists nor coordinate with keyman and poolies prior to visit.
Average	Visits between two or three high schools per week. Neglects administrative duties connected with high school program. Rarely calls high school or keyman and poolies prior to a visit. No evidence of attempt to get a keyman in each high school.
Below Average	Visits one or less high schools per week. Neglects administrative duties related to high school program. Does not call high school list prior to a visit.
Unsatisfactory	Visits high school only to get high school certification or to proctor an institutional ASVAB test.

APPENDIX H. Task EIGHT: Telephone Canvassing

Outstanding	Consistently prepares well for telephone calls by being mindful of previously established objectives, identifying proper market for the time of day, month and year; arranging list contact sheet, PC/PPC/RE cards, and Scheduling and Results Book in an efficient manner on his desk. Always uses proper symbols on list contact sheet and in Scheduling and Results Book. Accurately records all results. Properly annotates list scheduling card when calls complete at end of the day. Spends no longer than four minutes with each bona fide contact. Always uses pertinent PSS skills: general benefit statements, open and closed probes, and closes. Does not attempt to sell. Does not make sales presentation over telephone. Attempts only to get the appointment. Never supports a statement by the contact, the nature of which is an impediment to an enlistment; e.g. "I'm going to college". Incorrect recruiter response, "Well, John, that's great. What college and what are you going to study?" The recruiter's correct response is "Oh? That's pretty expensive; do you have the money? Are you aware you can go to college while on off-duty time in the Marine Corps and the Marine Corps will pay up to 75% of your tuition?" All telephone calls are lively, friendly, and attuned to the prospect's needs. Makes out a PC Card on all contacts who have agreed to an appointment. Finally, attains a standard of effectiveness for telephone calls of 1:50 or better.
Excellent	Varies from the foregoing only in that the recruiter spends no more than five minutes per call with a contact and achieves a standard of effectiveness of 1:70 or better.
Above Average	Tends to call a list that was not scheduled at the beginning of the month. Haphazard about setting up to efficiently make calls and record results. Uses proper symbols approximately 80% of the time. Records 90% of all results. Does not always properly complete results on List Scheduling Card. Tends to spend more than five minutes on a single call. Does not consistently use general benefit statements or proper closing techniques. Tends to make sales presentation to the prospect. Calls are friendly but somewhat mechanical. Does not always make out a PC card on persons who agree to an appointment. Standard of effectiveness for telephone calls better than 1:100.

Average	Regularly calls lists that were not scheduled. Normally starts list from the front and habitually overlooks calling names at the end of the list. Sets up inefficiently for the period of telephone canvassing: e.g. either list contact sheets or Scheduling and Results Book out of easy reach. Frequently uses improper symbols, or omits recording results of call. Does not properly complete results on List Scheduling Card. Spends as much as ten minutes on single calls. Does not initiate calls with an appropriate benefit statement. Many calls sound perfunctory and unenthusiastic. Standard of effectiveness for telephone calls better than 1:125.
Below Average	Completely random approach to selection of lists to be called. Starts from front of the list. Inefficient set up. Sloppy annotation of list contact sheets and PC Cards. Does not annotate list scheduling cards at end of day. Recruiter sounds in a rush to get the call completed; manner normally mechanical. Rarely uses general benefit statements. Does not attempt to handle objections such as prospect planning to go to college. Standard of effectiveness for telephone calls better than 1:150.
Unsatisfactory	That behavior which is noticeably less proficient than described under "below average". Standards of effectiveness greater than 1:150.

APPENDIX I. Task NINE: Pooler and Referral Program

Outstanding	<p>Referral Contact List, properly filled out included in 100% of all enlistment cases sent to AFEES. Referral Contact List folder maintained at recruiting office with 100% of all enlistments for past year having a Referral Contact List in the folder. Pool/MCRD cards completed and in Working File on 100% of all poolers and shippers currently in the pool or at recruit training. Names on cards match names on Pooler Board with 0% variance between number of Cards and number of names on board. Evidence, by virtue of annotation on each Pool Card, of fortnightly contact with 100% of all poolers. Contact can be by telephone, school visit, visit to recruiting office, etc. Pooler meeting conducted at least once per month. Agenda for successive meetings varied among social, athletic, or instructional activities. 50% of all contracts are <u>bona fide</u> referrals from poolers, command recruiters, contacts, etc. MCRD Cards in conjunction with Month-in-Sight Plan evidence that command recruiters and recruiter assistants integrated into IRT plan. 100% of all returning Marines scheduled for and subsequently participate in at least one IRT expedition. Placement of cards in Working File and appropriate annotations on cards are partial measure of skill at this task.</p>
Excellent	<p>Referral Contact List, properly filled out included in 92% of all enlistment cases sent to AFEES. Referral Contact List folder maintained at recruiting office with 92% of all enlistments for past year having a Referral Contact List in the folder. Pool/MCRD cards completed and in Working File on 100% of all poolers and shippers currently in the pool or at recruit training. Names on cards match names on Pooler Board with 2% variance between number of Cards and number of names on board. Evidence, by virtue of annotation on each Pool Card, of fortnightly contact with 92% of all poolers. Contact can be by telephone, school visit, visit to recruiting office, etc.</p>

Pooler meeting conducted at least once every five weeks. Agenda for successive meetings varied among social, athletic, or instructional activities. 40% of all contracts are bona fide referrals from poolers, command recruiters, contacts, etc. MCRD Cards in conjunction with Month-in-Sight Plan evidence that command recruiters and recruiter assistants integrated into IRT plan. 92% of all returning Marines scheduled for and subsequently participate in at least one IRT expedition. Placement of cards in Working File and appropriate annotations on cards are partial measure of skill at this task.

Above Average Referral Contact List, properly filled out, included in 85% of all enlistment cases sent to AFES. Referral Contact List folder maintained at recruiting office with 85% of all enlistments for past year having a Referral Contact List in the folder. Pool/MCRD cards completed and in Working File on 100% of all poolers and shippers currently in the pool or at recruit training. Names on cards match names on Pooler Board with 4% variance between number of Cards and number of names on board. Evidence, by virtue of annotation on each Pool Card, of fortnightly contact with 85% of all poolers. Contact can be by telephone, school visit, visit to recruiting office, etc. Pooler meeting conducted at least once every six weeks. Agenda for successive meetings varied among social, athletic, or instructional activities. 30% of all contracts are bona fide referrals from poolers, command recruiters, contacts, etc. MCRD Cards in conjunction with Month-in-Sight Plan evidence that command recruiters and recruiter assistants integrated into IRT plan. 85% of all returning Marines scheduled for and subsequently participate in at least one IRT expedition. Placement of cards in Working File and appropriate annotations on cards are partial measure of skill at this task.

Average Referral Contact List, properly filled out, included in 70% enlistment cases sent to AFES. Referral Contact List folder maintained at recruiting office with 70% of all enlistments for past year having a Referral Contact List in the folder. Pool/MCRD cards completed and in Working File on 96% of all poolers and shippers currently in the pool or at recruit training. Names on cards match names on Pooler Board with 7% variance between number of Cards and number of names on board.

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Evidence, by virtue of annotation on each Pool Card, of fortnightly contact with 70% of all poolers. Contact can be by telephone, school visit, visit to recruiting office, etc. Pooler meeting conducted at least once every seven weeks. Agenda for successive meetings varied among social, athletic, or instructional activities. 20% of all contracts are bona fide referrals from poolers, command recruiters, contacts, etc. MCRD Cards in conjunction with Month-in-Sight Plan evidence that command recruiters and recruiter assistants integrated into IRT plan. 70% of all returning Marines scheduled for and subsequently participate in at least one IRT expedition. Placement of cards in Working File and appropriate annotations on cards are partial measure of skill at this task.

Below Average

Referral Contact List, properly filled out, included in 60% enlistment cases sent to AFES. Referral Contact List folder maintained at recruiting office with 60% of all enlistments for past year having a Referral Contact List in the folder. Pool/MCRD cards completed and in Working File on 92% of all poolers and shippers currently in the pool or at recruit training. Names on cards match names on Pooler Board with 10% variance between number of Cards and number of names on board. Evidence, by virtue of annotation on each Pool Card, of fortnightly contact with 60% of all poolers. Contact can be by telephone, school visit, visit to recruiting office, etc. Pooler meeting conducted at least once every two months. Agenda for successive meetings varied among social, athletic, or instructional activities. 10% of all contracts are bona fide referrals from poolers, command recruiters, contacts, etc. MCRD Cards in conjunction with Month-in-Sight Plan evidence that command recruiters and recruiter assistants integrated into IRT plan. 60% of all returning Marines scheduled for and subsequently participate in at least one IRT expedition. Placement of cards in Working File and appropriate annotations on cards are partial measure of skill at this task.

Unsatisfactory

Results less than those described in "Below Average."

APPENDIX J. Task TEN: Administration and Logistics

Outstanding	An outstanding rating in this field represents the knowledge and endeavor of the highest level. An NCOIC who falls in this category is consistently on time or ahead of time in his submission of reports, and the information presented is factually correct. He invariably informs the Administrative Section of the status of his recruiter assistants, and provides prompt and correct answers for questions and investigations from the Station. Turns in the Motor Vehicle Status Report and his Motor Vehicle trip tickets on time with the format of each being properly completed. In the area of station operations, all reports are called in on time, 100% of the occasions which occur and the information reported on correlates with each report (Daily, Weekly, Monthly).
Excellent	A NCOIC who falls within this rating would possess the same abilities and achievements as the "outstanding" group with the exception of a few late submissions on the daily "I, C, A" Report, or perhaps an item or two of information which might not correlate on the daily, weekly or monthly reports. Perhaps a report might be a day late, but this will be on an infrequent basis.
Above Average	This category includes those personnel who generally are capable of getting their reports in on time. No more than one late submission of the "I, C, A" Report per week and no more than one weekly report late per month. The information reported will be correct with the exception of minor discrepancies on the daily, weekly and monthly reports. The formats of reports will be correct with minor faults and submission of these reports the Administrative and Supply Sections while not always on time will not hinder these sections from completing their missions on time.
Average	Has a tendency to let reporting slip through the seams frequently. Data being reported is basically correct although errors do exist and will be noticeable. No more than two "I, C, A's" per week are late and the weekly report is submitted on time at least 50% of all occasions. Monthly vehicle report no more than one day late. Information about recruiter assistants will be submitted but often after prompting by the Administrative Chief and not as a voluntary action. All information presented is useable but with mistakes and these figures must be closely checked by the receiver.

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Below Average Reports generally fall into the delinquent status. Station personnel have to request the information on a recurring basis. "I, C, A" Reports will be late three or more times a week with the weekly and monthly recapitulations being late on a consistent basis. The information on all reports will be of a nebulous and dubious quality with verification needed on a majority of reports. The vehicle report and recruiter assistants report will be so late that the Station must call and ask for submissions several times. Unreliability and poor timeliness of submission characterize this level of performance.

Unsatisfactory Reports are consistently late. When reports are submitted after constant prompting the information is of such a quality as to render it useless and unworkable.

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